



Division of the

State Architect

PROJECT CERTIFICATION GUIDE

Revised Edition

01-17-13



Excellence in the Business of Government

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FOREWORD

This document provides a foundational guide for successful certification of projects previously closed without DSA certification. The goal of this guide is to provide information, procedures and concepts that lead to project certification and that promote consistency between DSA Regional Offices.

This guide is intended to be used for projects that have been closed by the DSA without certification. This guide cannot possibly address all scenarios or specific situations encountered during the closeout process. In addition to the guidance this manual provides, experience and analytical skills are essential when determining appropriate actions necessary to obtain project certification.

Note: This manual is designed to be printed double-sided in accordance with the DGS Sustainable Copy Paper Policy (see the [DGS Manual, Section 1810](#) and [DGS Administrative Order 06-04](#)).

CHAPTER 1

INTRODUCTION

PURPOSE OF THIS GUIDE

The purpose of this guide is to provide information, procedures and concepts that lead to project certification and that promote consistency between DSA Regional Offices. It is the intent that this guide will be used by all stakeholders involved with DSA project certification.

ABOUT THE DIVISION OF THE STATE ARCHITECT (DSA)

The DSA provides design and construction oversight for K–12 schools, community colleges and state-owned essential services buildings. The DSA specifically regulates Building Code and Education Code compliance for:

- Structural Safety (SS)
- Fire & Life Safety (FLS)
- Accessibility (ACS)

The DSA has four regional offices:

- Oakland (Area 01)
- Sacramento (Area 02)
- Los Angeles (Area 03)
- San Diego (Area 04)

PROJECT PLAN REVIEW AND APPROVAL PHASE

The plan review and approval process occurs before any construction takes place. As a result of the plan review and approval process, DSA project files (physical files) are produced and e-Tracker and electronic archive database records are created.

DSA Black and Red Files

Physical files are created and are organized as follows:

- The red file contains plan check documents and technical construction documents.
- The black file contains administrative forms and documents.

Plan Check Review and Approval

The Plan Check process is initiated when the applicant files a DSA-1 application form and submits plans for review and approval. After the plan check process is complete, an Approval of Plans letter is issued and the construction phase can begin.

PROJECT CONSTRUCTION PHASE

The District Structural Engineer (DSE), also known as a Field Engineer, provides oversight during construction by providing supervision of the Project Inspector, reviewing administrative and technical documents and by making periodic visits to the construction site.

During the construction phase, many administrative and technical documents are generated and submitted to the DSA, including:

- DSA-5: Inspector Qualification form

- DSA-102: Contract Information form
- Addenda, deferred approvals, and revisions
- Inspector's semi-monthly reports
- Construction deviation notices
- Lab test reports
- Special inspection reports
- CCDs (Construction Change Documents)
- Correspondence

PROJECT CLOSEOUT AND CERTIFICATION PHASE

What is Project Closeout?

- Project closeout is the process that the DSA uses to determine that the constructed project complies with the codes and regulations governing school construction (the codes and regulations being those used for the original design). Project closeout consists of examination of specific project files for documents required to be submitted before, during and after construction, and to determine if outstanding issues have been resolved. After the file is examined, the project file is closed either with certification or without certification. After the project is closed, the files are sent to State Archives.

What is Project Certification?

- Project certification is a letter issued by the DSA certifying that the building project has been completed in accordance with the requirements as to the safety of design and construction pursuant to Education Code Sections 17280-17316 and 81130-81147.

Why is Certification Important?

- Provides a method to determine the safety of school construction.
- School Board members may be personally liable for projects until certified.
- The DSA will be unable to approve new proposed projects associated with uncertified construction (See DSA IR A-20 for in depth discussion).

Proof of Project Certification:

- Copy of DSA certification letter
- Copy of DSA history card showing certification
- DSA Tracker shows project is certified

Initiation of Project Closing

The DSA initiates the closing of projects. The following causes closing initiation (90 day closing letter to be issued):

- The DSA District Structural Engineer (DSE) determines the project is essentially complete. Essentially complete does not necessarily mean 100% complete. There may still be punch-list items pending. If the contractor is not fully mobilized on the site, then the project may be considered essentially complete.

- The DSA received a final verified report from the Project Inspector and/or the design professional in responsible charge of the project.
- The project becomes occupied. The DSE is expected to initiate the closing process within six (6) months of occupancy.
- Construction stops for one year or more.

The DSA Generates a 90 Day Letter

After the DSA examines a project file and determines documents required for certification are missing, the DSA issues a 90 day letter to the Architect and School District. The letter requests that all outstanding requirements and documents be submitted to the DSA within a 90 day period to allow the DSA to certify the application. The letter includes a list of required documents that have been received and those that are outstanding. The list may (or may not) include the following markers:

- RR which indicates the document is “required and received” by the DSA.
- RM which indicates the document is “required but missing” and therefore must be submitted in order to certify the project.

The DSA Closes the Project File

When the 90-day period has expired, the DSA again examines the project file to determine if the missing documents have been submitted and all outstanding issues have been appropriately addressed. All outstanding documents and issues must be resolved prior to the DSA’s issuance of a letter of certification. The DSA then closes the project file either with certification or without certification and issues a closeout letter to the District and copies to the Architect.

PROJECT CLOSEOUT LETTERS

Final project closeout options are as follows:

1. Closeout with Certification (#1 Letter)
2. Certificate of Compliance without Receipt of All Documents (#2 Letter)
3. Closeout without Certification – Exceptions or Unpaid Fees (#3 or #3a Letter)
4. Closeout without Certification – Safety Related Deficiencies (#4 Letter)
5. Resolution of Certification: Project no longer exists (removal of structure) (#5 Letter)
6. Resolution of Certification : Project no longer used for school purposes (#5A Letter)
7. Cancelled
8. Void

Closeout with Certification (#1 Letter)

Upon satisfactory completion of construction, and receipt of all required documents, the DSA issues a Certificate of Compliance to the school district. This letter is evidence that construction conforms to applicable requirements of the Education Code. Any alternate documents submitted in lieu of the “required documents” results in the issuance of a #2 letter

Certificate of Compliance without Receipt of All Documents (#2 Letter)

As permitted under Education Code, Sections 17315 and 81147, alternate procedures and/or alternate documents may be utilized in the efforts to issue a certification of compliance. These alternates may be utilized when it is deemed impossible to collect all the required documents due to incapacitating illness, death or default of any persons responsible for filing reports. Chapter 5 of this guide provides the process for certification of these types of projects.

Closeout without Certification (Exceptions) (#3 or #3A Letter)

When the DSA cannot verify that construction has been completed in accordance with the applicable codes and regulations, the project is closed without certification. The typical causes for issuance of a type 3 letter are:

- Reported deviations in the construction
- Unconstructed but required minimum scope
- Required documents were not received by the DSA or are otherwise missing
- Required documentation was not properly completed
- Missing testing and/or inspection reports
- Required further and/or additional fees owed to DSA have not been paid
- Unapproved documents such as change orders, deferred approvals, and addenda

Closeout without Certification (Deficiencies) (#4 Letter)

When there are unresolved safety issues the project will be closed without certification. The type 4 letter is issued for unresolved SSS, ACS and/or FLS safety related deficiencies specifically identified by the DSA, Inspector or Design Professional. These deficiencies would typically be identified in inspection reports, testing reports, design professional reports and/or DSA field trip notes. Missing documents are not considered as cause to issue a type 4 letter. Unconstructed scope, if resulting in a potential unsafe condition, could cause a type 4 letter to be issued. Type 4 letters must be approved by the DSA Regional Manager prior to being issued.

Resolution of Certification: Project no longer exists (removal of structure) (#5 Letter)

The DSA issues this closeout letter upon request from the district for projects which no longer exist due to removal of all the structures that were part of the project. The use is for project closed, not certified and the issue of certification is resolved because the structures associated with the project no longer exist. Usual use is for relocatable buildings that have been moved from their approved location. This resolution may also be used for other projects for which all the structures in the project have been demolished. The DSA requires evidence that the structures no longer exist in order to issue the letter.

Resolution of Certification: Project no longer used for school purposes. (#5A Letter)

The DSA issues this closeout letter upon request from the district for projects which are no longer being used for school purposes. The use is for project closed, not certified and the issue of certification is resolved because the project is no longer being and never will again be used for school purposes. Typically this would occur if the district sold the project to non-district entities for use other than public education. The DSA requires evidence the project meets the defined criteria.

Cancelled Projects (Cancelled Letter)

The DSA issues cancellation of projects not constructed, when requested by the district. Cancelled projects can be reinstated by filing a new application and fee. Plans, specifications and design shall comply with the requirements of the current California Building Code.

Voided projects (Void Letter)

The DSA voids projects under certain circumstances:

- More than six (6) months has passed from the date of return of checked plans to the architect or engineer and the corrected plans or corrected original plans have not been filed with the DSA for backcheck. The DSA may, upon request, approve a six month extension. Backcheck must be completed within two months of initiation.
- More than four (4) years has passed from the date of DSA plan approval without the start of construction (No extension are allowed).

Voided projects can be reinstated by filing a new application and fee. Plans, specifications and design shall comply with the requirements of the current California Building Code.

CHAPTER 2

DOCUMENTS REQUIRED FOR PROJECT CERTIFICATION

GENERAL

Each project has specific documents that are required to be completed and filed with the DSA in order for the DSA to certify the project. This section provides general discussion of the various documents. Not all documents discussed here are required for all projects.

Current DSA Forms

Many of the forms shown in this section are older versions of DSA forms, since most of the projects for which this guide will be used are older projects. Current versions of all DSA forms are available online at the DSA website, [Forms](#) page. Also, Appendix B provides a link to the forms referenced in this guide.

SIGNATURES ON DOCUMENTS

All documents that require signatures must be signed by the correct person. No person may sign for any other person.

The DSA will accept reproduced documents in which the signatures are therefore also reproductions (not “wet” signed).


DSA-1 (APPLICATION)

One of the purposes of the DSA-1 (Application) or any amending document is to identify the specific names of design professionals who are required to sign DSA-6A/Es (Verified Reports). Forms that amend the DSA-1 include:

- DSA-1
- DSA-108 (Change in Delegation of Responsibility)
- Letters that request a change in the name of individuals on the DSA-1

- Notes:**
1. The information on DSA-108 and other forms that change the delegation of responsibility supersede any information previously submitted on the DSA-1 form.
 2. If a DSA-6A/E is submitted and signed by individuals that are not listed on a DSA-1 or any amending document, then a DSA-108 needs to be submitted before the DSA-6A/E can be accepted.

DSA -1 - Example



STATE OF CALIFORNIA

DIVISION OF THE STATE ARCHITECT

APPLICATION FOR APPROVAL OF PLANS AND SPECIFICATIONS

Please Print or Type all Information - or you may fill out on-line and print for signatures

ALL FIELDS MUST BE FILLED IN PER [INSTRUCTIONS](#)

FORM

DSA-1

Rev. 1/07

1. School District (or State Agency) Sacramento City Unified School District
 Mailing Address: 425 1st Avenue, Sacramento, California 95818
2. Dist. Superintendent: Dr. Magdalena Mejia (916) - maggie-mejia@sac-city.k12.ca.u
Name Telephone Email
3. Dist. Dir. of Facilities: Jim Dobson (916) - jimd@sac-city.k12.ca.us
Name Telephone Email
4. Name of Facility: Washington Elementary
5. Construction of: (Names of New Buildings or Improvements) Admin. Bldg. A, 6 C.R. Bldgs. B to G, M-U Bldg. H, and 6 C.R.Bldgs.(24x40 reloc.)
6. Addition to: (Names of Buildings or Improvements) _____
7. Relocation of: (Names of Buildings) 2 Toilet Bldgs. (12x40 relocatables)

Alterations: 8. General Alterations to: _____
(Names of Buildings or Improvements)

9. Rehabilitation of: _____ DSA Rehabilitation Pre Application # _____
(Names of Buildings)

10. Reconstruction of: _____
(Names of Buildings)

11. Review being requested ☐ This is an Access only project ☐ OTC review is requested (Form [DSA-145](#) is attached)
☐ Incremental review has been requested. The scope of increments has been discussed with the DSA Project Intake Architect prior to submittal. Form [DSA-1.INC](#) "Definition of Scope of Increments", is attached.

12. Project Location: 1598 Education Way
(Street Address)

13. City & Zip Code: Sacramento 95830 County of: Sacramento



14. Project Tracking Number (PTN): _____ 15. Estimate Cost: \$4,000,000

16. Is project funded by the Office of Public School Construction (OPSC)? YES ☐ NO ☒ (If "NO" skip to line 17)

16a. OPSC Application Number: _____ 16b. ☐ Client is requesting DSA verification for an OPSC incentive grant (not applicable if answer to 16 is "NO")

17. Approx. Total Floor Area (Sq. Ft): 20,000 18. Design Snow Load: zero

19. Applicant's statement of responsibility: I certify, under penalty of perjury, that I am acting for the school District/State agency in the legal capacity of agent making application for approval of plans and specifications. I further certify that, to the best of my knowledge, the answers given on both sides of this application are true and correct.


Signature of Applicant:  Date: 2/6/2008 

20. Name of Applicant: Jeff Grau Title: Architect
(Please Print)

21. Mailing Address: _____
(If Applicant different from name shown in #1 or #22)

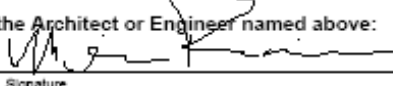
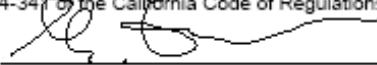

DSA USE ONLY	FEE SCHEDULE	CORRECT FEE	FEE PAID	UP/OP	REFUND
AC					
SS					
DSA FILE NO.	DSA APP. NO.	DATE ASSIGNED	ESTIMATED COST		
	<u>02 - 108792</u>				

FORM DSA-1 (Rev 1/31/07)



CALIFORNIA
DEPARTMENT OF GENERAL SERVICES

Page 1 of 2



DSA	APPLICATION FOR APPROVAL OF PLANS AND SPECIFICATIONS	FORM DSA-1				
<p>22. Plans, specifications, and related work were prepared by, and observation of construction will be performed by:</p> <p><u>Jeff Grau</u> <u>C14648</u></p> <p style="text-align: center; font-size: small;">Print or type name of Architect or Engineer in General Responsible Charge CA Reg. No.</p>						
<p>23. Firm Name: <u>Rainforth Grau Architects</u></p> <p>Address: <u>2407 J Street Suite 202 Sacramento, California 95816</u></p> <p>(916) 368 - 7900 (916) 368 - 7906</p> <p style="text-align: center; font-size: small;">Telephone No. Extension Fax No. E-mail Address</p>						
<p>24. The following individual is authorized to act as Alternate to the Architect or Engineer named above:</p> <p><u>Michael Rainforth</u> </p> <p style="text-align: center; font-size: small;">Printed Name Signature</p> <p>CA Reg. No. <u>C8289</u> Tel.# (916) 368 - 7900 E-mail Address</p>						
<p>25. If portions of the preparation of the Plan and Specifications and observation of construction were delegated, show name of Registered Engineer, and related information below:</p>						
25a. Structural Engineer	<u>Bruce Doig</u> <div style="text-align: center; font-size: small;">CA Reg. No. <u>S2522</u> E-mail</div>	<div style="text-align: center; font-size: small;">Tel.# (916) 368 - 9622 Fax # (916) 368 - 9623</div>				
25b. Mechanical Engineer	<u>Lawrence Giovi</u> <div style="text-align: center; font-size: small;">CA Reg. No. <u>M29632</u> E-mail</div>	<div style="text-align: center; font-size: small;">Tel.# (909) 270 - 2979 Fax # () -</div>				
25c. Electrical Engineer	<u>Wesley Smith</u> <div style="text-align: center; font-size: small;">CA Reg. No. <u>E13615</u> E-mail</div>	<div style="text-align: center; font-size: small;">Tel.# (714) 536 - 6451 Fax # () -</div>				
25d. Geotechnical Engineer	<div style="text-align: center; font-size: small;">CA Reg. No. E-mail</div>	<div style="text-align: center; font-size: small;">Tel.# () - Fax # () -</div>				
<p>26. <input type="checkbox"/> This project involves delegation of responsibility other than reflected in line 25 above. Form(s) <u>DSA-1.DEL</u> is (are) attached providing additional project information</p>						
<p>27. OTHER FACTORS- Check appropriate boxes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;"> GEOLOGIC HAZARD (check 1 box only) </td> <td style="width: 80%;"> <input checked="" type="checkbox"/> I have verified that this project does not require submittal of a Geological Hazard Report, per DSA IR A-4, Section 3. <input type="checkbox"/> Geological Hazard reports is required and is being (has been) submitted. </td> </tr> <tr> <td> WAIVER OF DURABILITY </td> <td> <input checked="" type="checkbox"/> (For Relocatable Building Only) The school district requests waiver of durability requirements for substandard foundations per IR 16-1 and acknowledges that a conditional approval is acceptable. </td> </tr> </table>			GEOLOGIC HAZARD (check 1 box only)	<input checked="" type="checkbox"/> I have verified that this project does not require submittal of a Geological Hazard Report, per DSA IR A-4 , Section 3. <input type="checkbox"/> Geological Hazard reports is required and is being (has been) submitted.	WAIVER OF DURABILITY	<input checked="" type="checkbox"/> (For Relocatable Building Only) The school district requests waiver of durability requirements for substandard foundations per IR 16-1 and acknowledges that a conditional approval is acceptable.
GEOLOGIC HAZARD (check 1 box only)	<input checked="" type="checkbox"/> I have verified that this project does not require submittal of a Geological Hazard Report, per DSA IR A-4 , Section 3. <input type="checkbox"/> Geological Hazard reports is required and is being (has been) submitted.					
WAIVER OF DURABILITY	<input checked="" type="checkbox"/> (For Relocatable Building Only) The school district requests waiver of durability requirements for substandard foundations per IR 16-1 and acknowledges that a conditional approval is acceptable.					
<p>28. Statement of responsibility: Architect / Engineer in General Responsible Charge</p> <p>I certify under penalty of perjury that all information presented on this form is true and correct and that I understand, and will fulfill, my responsibilities as the architect/engineer in general responsible charge of this project as defined in Title 24, Part 1, Section 4-34 of the California Code of Regulations.</p> <p>Signature:  Date: <u>Feb 10, 2006</u></p> <p style="text-align: center; font-size: small;">(Architect Or Engineer in General Responsible Charge)</p> <p>Indicate which Regional Office the Form DSA-1 is being submitted to:</p> <div style="display: flex; justify-content: space-between; font-size: small;"> <div> <input type="checkbox"/> DSA San Francisco Bay Area Region 1515 Clay Street, Suite 1201 Oakland, CA 94612 </div> <div> <input checked="" type="checkbox"/> DSA Sacramento Region 1102 Q Street, Suite 5200 Sacramento, CA 95814 </div> <div> <input type="checkbox"/> DSA Los Angeles Basin Region 700 N. Alameda Street, Suite 5-500 Los Angeles, CA 90012 </div> <div> <input type="checkbox"/> DSA San Diego Region 16680 West Bernardo Drive San Diego, CA 92127 </div> </div> <p style="font-size: x-small;">Disclaimer: I certify that this form is an exact duplicate (verbatim) of the form provided by the Division of the State Architect (DSA) i.e. Form DSA-1 (Revision of 1-2007). In the event a conflict should exist, the language in the current DSA form will prevail.</p>						
<div style="display: flex; justify-content: space-between;"> FORM DSA-1 (Rev 1/31/07) <div style="text-align: center;">  CALIFORNIA DEPARTMENT OF GENERAL SERVICES </div> Page 2 of 2 </div>						

DSA-108 (CHANGE IN DELEGATION OF RESPONSIBILITY)

Form DSA-108 changes the delegation of responsibility from those persons listed on form DSA-1 to others listed on form DSA-108. This is useful when those listed on the original DSA application (DSA-1) are not able to complete their delegated responsibilities. The form provides the following critical information:

- Project Name, Application Number and Date Signed
- Delegated From
- Delegated To

DSA-108 – Example

 <div style="display: inline-block; vertical-align: top; margin-left: 10px;"> State of California • Arnold Schwarzeneger, Governor State and Consumer Services Agency • Department of General Services DIVISION OF THE STATE ARCHITECT PLEASE SUBMIT THIS FORM TO YOUR LOCAL DSA REGIONAL OFFICE </div>		
CHANGE IN DELEGATION OF RESPONSIBILITY		
Project Name: <u>Washington Elementary</u>	Effective Date of Delegation: <u>5/1/2007</u>	File No. <u>34-53</u> Application No. <u>02 - 108792</u>
Acting for the school board/owner in the legal capacity of agent, I hereby request that the application for approval of drawings and specifications for the subject project be amended to delegate responsibility for the <input type="checkbox"/> preparation of plans and specifications <input checked="" type="checkbox"/> observation of the construction of the <u>Structural</u> portion of the construction (line # <u>25a</u> , of the application) as follows:		
Delegated from: <u>Bruce Doig</u>		
<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Architect <input checked="" type="checkbox"/> Structural Engineer <input type="checkbox"/> Mechanical Engineer <input type="checkbox"/> Electrical Engineer <input type="checkbox"/> Geotechnical Engineer </div>		
Delegated to: <u>Colby Anderson</u> Registration #: _____ Phone #: () - _____		
<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Architect <input checked="" type="checkbox"/> Structural Engineer <input type="checkbox"/> Mechanical Engineer <input type="checkbox"/> Electrical Engineer <input type="checkbox"/> Geotechnical Engineer </div>		
Firm Name / Address: <u>Anderson Doig Structural Engineers</u>		
Responsibility Accepted by: <u>[Signature]</u>		Date: <u>5/1/2007</u>
Authorized Agent: <u>[Signature]</u>		Date: <u>5/1/2007</u>
NOTE		
Persons delegated responsibility for observation of construction, or portions thereof, shall make verified reports (Form DSA-6A/E) to the Division of the State Architect (DSA), as required by Section 4-336, Part 1, Title 24, California Code of Regulations.		
Persons relieved of responsibility for observation of construction, or portions thereof, shall make a verified report (Form DSA-6A/E) covering the work done up to the date their responsibility terminated.		
cc: School Board  CALIFORNIA DEPARTMENT OF GENERAL SERVICES DSA-108 (Revised 1-12-07)		

DSA-102 (CONTRACT INFORMATION)

The DSA-102 Contract Information form provides the contractor's information. The following critical information must be provided on DSA-102:

- Project Name and Application Number
- Start of Construction Date
- Contract Number
- Contract Amount
- Contractor Name
- Scope of Contract
- Signature of Architect

Notes: 1. If any of the above information is incorrect or incomplete, a revised or corrected DSA-102 is required.

2. Volunteer projects need to list the name of an individual who is acting as a contractor and the dollar amount would be based on an estimate of the fair market value.

Requirements

- The DSA-102 information must be received by the DSA before any Change Orders (or Construction Change Documents) can be accepted by DSA.
- A separate DSA-102 must be filed for the Construction Manager.
- For projects with multiple prime contracts, a DSA-102 can be filed for each contract. However, it is recommended to use a single DSA-102 with an attached list of prime contractors and their respective contract amounts.
- If a single General Contractor or Construction Manager (Construction Manager is at risk) holds contracts, then the DSA considers only one contract exists (that between General Contractor and the district or the Construction Manager and the district). That prime contract is listed on the DSA-102 and sub-contractor contract information is not listed.

DSA-102 – Example (Annotated)

Below is a detailed description of required information. If a field in the form is not annotated (and appears blank), the information in the field is not essential for closeout.

Indicate the contract number here.

DGS **STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES** **DIVISION OF THE STATE ARCHITECT** **FORM DSA-102** Rev. 9-02

A separate form is required for each contract. Therefore, multiple forms may be filed under a single application. You must determine if all contracts have been reported to DSA, including contracts for construction managers.

CONTRACT INFORMATION
File prior to start of construction
Submit information for each contract on a separate form.

File # _____
App.# **Required Information**

Project Name **The school name. A list of school sites (for projects with multiple sites) or reference to an attachment are also acceptable.**

District / Owner _____

Contract Amount \$ **Original contract amount (should not include change order amounts)** Start of Construction (Date) **Required**

Contractor & Address **Required**

Subcontractors: (Attach list with names and addresses.) _____

Testing Laboratory & Address _____

LEA #: _____ Exp. Date: _____ I have verified that the lab is employed directly by the School District per Section 4-335 (b) of Title 24, Part 1: ☐

Inspector & Address _____

Scope of Contract: (List buildings. In addition, complete items 1 through 4 below)

This scope should match the scope on the DSA first approval letter, unless only part of the scope of the application is under this contract. The PCS should confirm the scope, but DSEs are ultimately responsible for scope. Changes to the scope should only be made with DSE recommendation.

1. Alternates included in this contract are: (Complete bid form showing cost is acceptable in lieu of detailed description hereon.)

2. Buildings and other portions of the work SHOWN on the approved plans and specifications but NOT INCLUDED in this contract are:
Any scope indicated here would be either under another contract or would not be constructed at this time.

3. Buildings and other portions of the work NOT SHOWN on the approved plans and specifications but INCLUDED in this contract are:
(Describe. If necessary, please use the reverse of this form.)

4. Buildings and other portions of the work SHOWN ON OTHER applications and INCLUDED in this contract:
(Describe. If necessary, please use the reverse of this form.)

Signature (Architect or Engineer in General Responsible Charge of Observation of Work)
Required

Forward to (Choose one):

☐ DSA San Francisco Bay Area Region 1515 Clay Street, Suite 1201 Oakland, CA 94612

☐ DSA Sacramento Region 1102 Q Street, Suite 5200 Sacramento, CA 95814

☐ DSA Los Angeles Basin Region 700 N. Alameda Street, Suite 5-500 Los Angeles, CA 90012


☐ DSA San Diego Region 16680 West Bernardo Drive San Diego, CA 92127

NOTE: Approval of an inspector shall be secured at least 10 days prior to start of construction.

Disclaimer: I certify that this form is an exact duplicate (verbatim) of the form provided by the Division of the State Architect (DSA). In the event a conflict should exist, the language in the DSA form will prevail.

DSA-102 – Example (with Multi-prime Attachment)

The multi-prime list must indicate the contractor's name, respective contract amount, and bid package #.

 STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES DIVISION OF THE STATE ARCHITECT		FORM DSA-102 <small>Rev. 9-02</small>
CONTRACT INFORMATION <small>File prior to start of construction Submit information for each contract on a separate form.</small>		
PHASE TWO		File # 33-9 App.# 04-107354
Project Name <u>Bernice Jameson Todd Elementary School</u>		
District / Owner <u>Corona-Norco Unified School District</u>		
Contract Amount \$ <u>16,932,351.00 (see attached list)</u>		Start of Construction (Date) <u>10/11/06</u>
Contractor & Address <u>Edge Development, Inc. 27368 Via Industria, Suite 101 Temecula, CA 92590</u>		
Subcontractors: (Attach list with names and addresses.) <u>See attached list for Multiple Prime Contractors.</u>		
Testing Laboratory & Address <u>Earth Systems 9253 Hermosa Ave., Unit C Rancho Cucamonga, CA 91703</u>		
LEA #: <u>50</u>	Exp. Date: <u>07/22/06</u>	I have verified that the lab is employed directly by the School District per Section 4-335 (b) of Title 24, Part 1: <input checked="" type="checkbox"/>
Inspector & Address <u>John Ross, 36447 Seine Ct., Winchester, CA 92596</u>		
Scope of Contract: (List buildings. In addition, complete items 1 through 4 below) <u>Phase 2: Construction of Admin. Building, Kindergarten Classroom Building, M.P. Building, 2-story Classroom Building, Lunch Shelter, Fields, Playground, and Parking Lot</u>		
1. Alternates included in this contract are: (Complete bid form showing cost is acceptable in lieu of detailed description hereon.) <u>N/A</u>		
2. Buildings and other portions of the work SHOWN on the approved plans and specifications but NOT INCLUDED in this contract are: <u>Phase 1: Site grading and installation of deep utilities.</u>		
3. Buildings and other portions of the work NOT SHOWN on the approved plans and specifications but INCLUDED in this contract are: (Describe. If necessary, please use the reverse of this form.) <u>N/A</u>		
4. Buildings and other portions of the work SHOWN ON OTHER applications and INCLUDED in this contract: (Describe. If necessary, please use the reverse of this form.) <u>N/A</u>		
Signature (Architect or Engineer in General Responsible Charge of Observation of Work) <u>Stephen A. Wilkerson, AIA, HMC Architects</u>		
Forward to (Choose one): <input type="checkbox"/> DSA San Francisco Bay Area Region 1515 Clay Street, Suite 1201 Oakland, CA 94612		
<input type="checkbox"/> DSA Sacramento Region 1225 R Street Sacramento, CA 95814		
<input type="checkbox"/> DSA Los Angeles Basin Region 311 South Spring Street, #1301 Los Angeles, CA 90013		
<input checked="" type="checkbox"/> DSA San Diego Region 16680 West Bernardo Drive San Diego, CA 92127		
NOTE: Approval of an inspector shall be secured at least 10 days prior to start of construction.		
<small>Disclaimer: I certify that this form is an exact duplicate (verbatim) of the form provided by the Division of the State Architect (DSA). In the event a conflict should exist, the language in the DSA form will prevail.</small>		

**Bernice Jameson Todd Elementary School
CORONA-NORCO UNIFIED SCHOOL DISTRICT**

**Attachment to Contract Information (DSA-102)
DSA # A-04-107354, F-33-9**

Prime Contractors for Phase 2

*recd 5/2/07
start 10/11/06*

CATEGORY DESCRIPTION	NAME & ADDRESS	CONTRACT AMOUNT
BP-3: Landscaping	Nature Tech Landscaping 1760 Marlborough Avenue Riverside, CA 92507	\$670,000.00 ✓
BP-4: Fence & Gates	Landmark Fence Co., Inc. 3964 Mission Boulevard Montclair, CA 91763	65,583.00 ✓
BP-5: Concrete & General Construction	T.B Penick & Sons, Inc. 380 State Place Escondido, CA 92029	3,627,000.00 ✓
BP-6: Structural Steel & Misc. Iron	Blazing Industrial Steel, Inc. 9040 Jurupa Road Riverside, CA 92509	1,362,638.00 ✓
BP-7: Rough Carpentry	Rocky Coast Framers, Inc. 135 So. Market Place Escondido, CA 92029	2,275,000.00 ✓
BP-8: Casework	David M. Bertino Manufacturing Inc. 1696 West Mill Units 21-22 Colton, CA 92324	415,000.00 ✓
BP-9: Roofing	Bell Roof Company, Inc. P.O. Box 5218 San Bernardino, Ca 92412	290,638.00 ✓
BP-10: Sheet Metal	Challenger Sheet Metal, Inc. 9450 Candida Street San Diego, CA 92126	205,310.00 ✓
BP-11: Doors & Hardware	TR Mulligan, Inc. 1604 Chestnut Avenue Carlsbad, CA 92008	384,540.00 ✓
BP-12: Glass & Glazing	Roy E. Whitehead Inc. 2245 Via Cerro Riverside, CA 92509	63,335.00 ✓
BP-13: Gypsum & Plaster	Caston Plastering and Drywall Inc. 354 S. Allen Street San Bernardino, Ca 92408	1,598,885.00 ✓
BP-14: Ceramic Tile	Inland Pacific Tile 1808 Commercenter West, Suite B San Bernardino, CA 92408	148,400.00 ✓
BP-15: Acoustical Wall & Ceiling	Elljay Acoustics, Inc. 1586 North Batavia Street Orange, CA 92867	168,547.00 ✓
BP-16: Floor Coverings	Pro Installations Inc. dba Prospectra Contract Flooring 8320 Camino Santa Fe, Suite 100 San Diego, CA 92121	183,675.00 ✓

DSA-168 (STATEMENT OF FINAL ACTUAL PROJECT COST)

The use of this form became effective July, 2012. Since fees paid to DSA are based on the cost of the project, the DSA is required to determine the final project cost at the end of the project as part of the closeout/certification process. The DSA-168 allows for districts to self-report the final construction cost of the project so that the DSA can determine final fees owed.

DSA-291 (LABORATORY VERIFIED REPORT)

Most (but not all) projects require materials testing. Project testing requirements are shown on the construction documents and summarized on the DSA testing and inspection (T&I) form (DSA-103).

The T&I form is filled out by the design professional and accepted by the DSA as a prerequisite to plan approval. The T&I form is not required for project closing but is used to identify those tests and special inspections required for the project.

At the conclusion of the project, the Testing Lab is required to provide evidence to the DSA that all required tests have been completed.

- For older projects the Laboratory Manager would provide a signed affidavit ("Customized lab verified report") to the DSA stating that all required testing has been completed.
- The laboratory also may have filed a DSA-6 form.
- For more recent projects, the lab provides an executed DSA-291 (Laboratory Verified Report), signed by the lab manager, evidencing all required testing has been completed. DSA-291 must be signed by the licensed civil engineer who supervised the testing.

All three of these methods are acceptable for project certification. However, for projects where construction was completed after August 8, 2006, the DSA-291 form must be used.

DSA-292 (SPECIAL INSPECTOR VERIFIED REPORT)

Some (but not all) projects require special inspections. Project special inspection requirements are shown on the construction documents and summarized on the DSA Testing and Inspection (T&I) list, form (DSA-103).

The T&I form is filled out by the design professional at the time the plans are approved. The T&I form is not required for project closing but is used to identify those tests and special inspections required for the project.

At the conclusion of the project, each Special Inspector is required to provide evidence to the DSA that all required special inspections have been completed and that the inspected construction complies with the DSA approved construction documents.


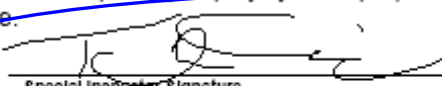
- For older projects the Special Inspector would provide a signed affidavit ("Customized Special Inspector verified report") to the DSA stating that the specifically listed required special inspection has been completed and the construction found to be in compliance with the construction documents.
- The Special Inspector also may have filed a DSA-6 form.
- For more recent projects, the Special Inspector provides an executed DSA-292 (Special Inspector Verified Report), signed by the Special Inspector.

All three of these methods are acceptable for project certification. However, for projects that construction was completed after August 8, 2006, the DSA-292 form must be used.

- DSA-292 for masonry must be signed by a DSA approved masonry inspector.
- DSA-292 for shop or field welding must be signed by individuals who are AWS/CWI licensed.
- When DSA approves a specific individual (via form DSA-5) to perform any special inspection, that individual must sign the DSA-292 form.

DSA-292 (SPECIAL INSPECTION VERIFIED REPORT) – Example

The DSA is specifically looking at the circled information for completeness and accuracy.

 STATE OF CALIFORNIA • DEPARTMENT OF GENERAL SERVICES DIVISION OF THE STATE ARCHITECT		FORM DSA-292 rev. 08/07/06
Special Inspection Verified Report (SIVR)		
<p>Note: This form must be submitted by the Special Inspector within 14 days of the conclusion of work requiring special inspection, or when work has stopped for more than one month, or if the services of the Special Inspector have been terminated for any reason.</p>		
A. Re: <u>New Campus</u> <u>Project Name</u> <u>Washington Elementary</u> <u>School Name</u> <u>To: Sacramento City USD</u> <u>School Dist.</u> <u>425 1st Avenue, Sacramento, California 95818</u> <u>Address</u> <u>Jim Dobson</u> <u>Attention</u>	34-53 <u>DSA File #</u> <u>02-108792</u> <u>DSA App. #</u> <input checked="" type="checkbox"/> Final-Work 100% Complete <input type="checkbox"/> In-Progress: _____ % Complete <input type="checkbox"/> Terminating: _____ % Complete	
B. I personally performed all construction inspections described in Section C. My inspections were performed in accordance with the requirements of the DSA approved documents.		
C. My work included continuous inspection of construction in accordance with the "DSA approved" documents as follows (list all special inspections performed and/or specific portions of the construction which you personally inspected.): _____ <u>Shop and Field Welding</u>		
D. All inspection reports were sent to all entities as required by code.		
E. I know of my own personal knowledge that the work has, in every material respect, been performed in compliance with the "DSA approved" documents, <u>except as follows</u> (if no exceptions, indicate "No Exceptions"): <u>NO EXCEPTIONS</u>		
F. I declare under penalty of perjury that I prepared the above report and that all statements are true.		
<u>Signed</u>  <u>9/1/2007</u> <u>AWS/CWI 04070331</u> <u>Special Inspector Signature</u> <u>Date</u> <u>Certification Number</u> <u>Print Name: Tobin Smith</u> <u>Lab Name: Wallace Kuhl</u> <u>DSA / LEA # 116</u> <u>Address: 3050 Industrial Blvd.</u> <u>City: W. Sacramento</u> <u>State: CA</u> <u>Zip: 95691</u>		
CC: Project Architect Structural Engineer Project Inspector DSA Regional office		
<i>See other side for instructions</i>		
FORM DSA-292 (rev 08/07/06) Special Inspection Verified Report PAGE 1 OF 2		

DSA-293 (GEOTECHNICAL VERIFIED REPORT)

Most (but not all) projects require earth work that is monitored by a Geotechnical Engineer.

- For older projects the Geotechnical Engineer would provide a signed affidavit ("Customized geotechnical verified report") to the DSA stating that all engineered fill tests and inspections have been completed.
- The Geotechnical Engineer also may have filed a DSA-6 form.
- For more recent projects, the Geotechnical Engineer provides an executed DSA-293 (Geotechnical Verified Report), signed by the Geotechnical Engineer of Record, evidencing all required engineered fill testing and inspection has been completed.

All three of these methods are acceptable for project certification. However, for projects that construction was completed after August 8, 2006, the DSA -293 form must be used.

- DSA-293 must be signed by a licensed Geotechnical Engineer.

Customized Narrative Letter Verified Report – Example

The example below is an acceptable Geotechnical Verified Report that pre-dates the standard DSA-293 form. Geotechnical and Engineered Fill reports are equivalent.

SCANNED

KLEINFELDER
An employee owned company

September 22, 2004
File No. 42785

DSA File No.: 48-16
DSA App. No.: 02-105580

Ms. Kim VanGundy
Fairfield Suisun Unified School District
1975 Pennsylvania Avenue
Fairfield, CA 94534

STATE OF CALIFORNIA
DEPARTMENT OF GENERAL SERVICES
SEP 30 2004
DIVISION OF THE STATE ARCHITECT
SACRAMENTO REGIONAL OFFICE

ENGINEERED FILL VERIFIED REPORT

☒ Final-Work 100% Complete ☐ Terminating ____% Complete ☐ Work Stopped ____% Complete

THIS IS TO CERTIFY that all engineered fill tests and inspections performed by our personnel used in the construction of the:

**Suisun Elementary School 2004
Fairfield Suisun Unified School District**

Were made in accordance with the approved plans and specifications, projects soils investigation report and the regulations of the Division of the State Architect (DSA) and that all were reported to said office:

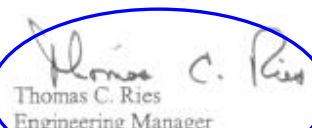
Qualified personnel under my direct supervision conducted all testing and inspection services.


The results of all tests and inspections indicate that the materials tested comply with the requirements of the DSA approved documents.

I declare under penalty of perjury that I have read the above report and know the contents thereof and that all of the above statements are true.

Respectfully submitted,

KLEINFELDER, INC.


Thomas C. Ries
Engineering Manager
C.E. 3089, C.E.G. 1253



cc: DSA
Phil Kay
Jay Leininger, IOR
Francis Chan, ATI Architects and Engineers
Raasfat S. Aboulhossn, ATI Architects and Engineers

42785/FLD4L228
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Page 1 of 1

KLEINFELDER 780 Chadbourne Road, Suite D, Fairfield, CA 94534 (707) 429-4070 (707) 429-4162 fax

DSA-6 (INSPECTOR VERIFIED REPORT)
DSA-6 (CONTRACTOR VERIFIED REPORT)
DSA 6A/E (DESIGN PROFESSIONAL VERIFIED REPORT)



- The DSA-6 is used by each inspector and each contractor with a prime contract with the District to state that construction either does or does not comply with DSA approved plans.
- The DSA-6A/E form is used by the architect, structural, mechanical, and/or electrical engineers to state that construction either does or does not comply with DSA approved plans.
- DSA-6 forms have been used in the past by testing labs or special inspectors instead of DSA lab verified reports.
- Forms DSA-6 and DSA-6A/E must be filled out completely and accurately. If any required information is not correctly provided, then the form is rejected by the DSA.
- Change order dates should pre-date the date the DSA-6 or DSA-6 A/E was signed. In addition, all Deferred Approvals, Change Orders (if required), Construction Change Documents, Revisions, Addenda, etc. must be resolved prior to acceptance.
- DSE's have the authority to accept a DSA-6 or DSA-6 A/E as final even if it does not meet all of the requirements listed above.

Notes:

1. Construction Managers are not required to file a DSA-6 unless they are acting as general contractors (i.e., they own the contracts and are at risk).
2. Assistant Inspectors are not required to file a DSA-6 unless requested to do so by the DSE.
3. The DSA-6 submission requirements can differ depending upon the project or types of construction.



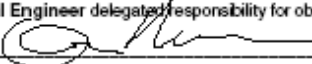
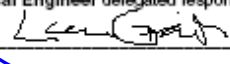
DSA-6 – Example

The DSA is specifically looking at the circled information for completeness and accuracy.

CALIFORNIA DEPARTMENT OF GENERAL SERVICES DIVISION OF THE STATE ARCHITECT			VERIFIED REPORT DSA-6
Rev. 1-02			
Both the Contractor and the Inspector must submit a separate copy of this form directly to DSA. File this report at completion of project, when services in connection with the project are terminated, when work stops for more than one month, or when any building of the project is occupied.			
Check all applicable boxes: <input checked="" type="checkbox"/> Final - Work 100% complete <input type="checkbox"/> Work not completed (indicate at "*" below) <input type="checkbox"/> Building(s) _____ occupied <input type="checkbox"/> Terminating <input type="checkbox"/> Work Stopped		DSA File No. 34-53 DSA Application No. 02-108792	
This report includes all construction work through the date of: 12 month 18 day 2006 year			
School District/Owner Sacramento City USD		Project Name (School) Washington Elementary	
Scope of Work Site Work		Contract Amount \$ 3,433,000	
INDICATE IN EACH APPLICABLE CATEGORY	% COMPLETE	INDICATE IN EACH APPLICABLE CATEGORY	% COMPLETE
Site work		Fire Alarm System	
Foundation		Fire Sprinklers & Suppression Systems	
Structural Frame		Access, Gates & Fire Flow	
Electrical (including grounding systems)		Accessible Parking	
Plumbing		Ramps/Elevators/Lifts	
Mechanical		Accessible Restrooms	
Finishes		Accessibility Signage	
Total Project Completion (estimate total percentage of completion for projects where work is not complete):			100
*List work to be completed (attach additional pages as necessary):			
Total Number of Change Orders at Close of Project:			2
This section to be completed by Project Inspector or Contractor:			
I know of my own personal knowledge that all construction has, in every material respect, been performed in compliance with the DSA approved documents. I declare under penalty of perjury that I prepared this report and that all statements are true.			
Signature 		Print Name Seward Schreder	
Title Contractor		Date 12 . 18 . 06	
(Inspector, Assistant Inspector, Contractor, School District/Owner)			
Business Address P.O. Box 7271			
City Chico		State CA	Zip 95927
Contractor or representative of district performing own work must also complete the following:			
I am an authorized official of _____ (Contracting Firm, Corporation, or School District performing work)			
working in the capacity of _____ (Owner, Partner, President, Vice-president, Superintendent)			
with personal knowledge of the work of construction. I have been authorized by said firm or corporation to sign this report.			
Submit completed form to the DSA Regional Office where this project was filed:			
<input type="checkbox"/> DSA San Francisco Bay Area Region 1515 Clay Street, Suite 1201 Oakland, CA 94612	<input checked="" type="checkbox"/> DSA Sacramento Region 1102 Q Street, Suite 5200 Sacramento, CA 95814	<input type="checkbox"/> DSA Los Angeles Basin Region 311 S. Spring Street, Suite 1301 Los Angeles, CA 90013	<input type="checkbox"/> DSA San Diego Region 16680 West Bernardo Drive San Diego, CA 92127

DSA 6 A/E – Example

DSA is specifically looking at the circled information for completeness and accuracy.

CALIFORNIA DEPARTMENT OF GENERAL SERVICES DIVISION OF THE STATE ARCHITECT			VERIFIED REPORT DSA-6A/E
To be filed by the design professional in general responsible charge at completion of project, when services in connection with project are terminated, when work stops for more than one month, or when any building of the project is occupied.			Rev. 1-02
Check all applicable boxes:	<input checked="" type="checkbox"/> Final - Work 100% complete <input type="checkbox"/> Work not completed (indicate at "*" below) <input type="checkbox"/> Building(s) _____ occupied	<input type="checkbox"/> Terminating <input type="checkbox"/> Work Stopped	DSA File No. 34-53 DSA Application No. 02-108792
This report includes all construction work through the date of: 12 month 22 day 2007 year			
School District/Owner Sacramento City USD		Project Name (School) Washington Elementary	
Scope of Work New Campus (Granite Const. & Meehlis)		Contract Amount \$ 5,004,500 and \$650,000	
INDICATE IN EACH APPLICABLE CATEGORY	% COMPLETE	INDICATE IN EACH APPLICABLE CATEGORY	% COMPLETE
Site work		Fire Alarm System	
Foundation		Fire Sprinklers & Suppression Systems	
Structural Frame		Access, Gates & Fire Flow	
Electrical (including grounding systems)		Accessible Parking	
Plumbing		Ramps/Elevators/Lifts	
Mechanical		Accessible Restrooms	
Finishes		Accessibility Signage	
Total Project Completion (estimate total percentage of completion for projects where work is not complete):			100
*List work to be completed (attach additional pages as necessary):			
Total Number of Change Orders at Close of Project:			5
AFFIDAVIT OF RESPONSIBLE PARTIES <i>Original signatures are required</i> I know of my own personal knowledge that all construction has, in every material respect, been performed in compliance with the DSA approved documents. I declare under penalty of perjury that I prepared this report and that all statements are true.			
Design Professional in general responsible charge for observation of the work Signature  Print Name Jeff Grau Date 12 - 22 - 07 Address _____ City Sacramento State CA Zip 95816			
Structural Engineer delegated responsibility for observation of the work Signature  Print Name Colby Anderson Date 12 - 22 - 07 Address _____ City Sacramento State CA Zip 95830			
Mechanical Engineer delegated responsibility for observation of the work Signature  Print Name Lawrence Giovi Date 12 - 22 - 07 Address _____ City Sacramento State CA Zip _____			
Electrical Engineer delegated responsibility for observation of the work Signature _____ Print Name Wesley Smith Date - - - Address _____ City _____ State CA Zip _____			

NOTICE OF COMPLETION (NOC)

A Notice of Completion (NOC) filed with the DSA by the School District/owner is required before the DSA can issue a certification letter. If there are multiple contracts, then there may be multiple NOC submitted (and multiple NOC dates).

Acceptable forms of NOC

NOCs can be submitted using:

- Notice on School District Letterhead
- Notice filed with County Recorder

Required information


The following information is required to be included as part of a "Notice of Completion":

- **School (Project) name and application number**
Identify the project to which the NOC applies.
- **Contractor name(s)**
- **Completion date**
- **Signature of school district representative**

- Notes:**
1. The term "substantially complete" is acceptable, when the NOC is signed by the school district representative.
 2. The AIA notice of substantial completion is not acceptable as a NOC because the AIA notice is signed by the architect and not the school district's representative.

Notice of Completion – Example

The DSA is specifically looking at the circled information for completeness and accuracy.


<p>RECORDING REQUESTED BY</p> <p>Davis Joint Unified School District</p> <p>AND WHEN RECORDED MAIL TO</p> <p>Facilities Department Davis Joint Unified School District 1919 5th Street Davis, CA 95616</p>	 YOLO Recorder's Office Freddie Oakley, County Recorder DOC- 2005-0009145-00 Acct 116-Davis - NC Monday, FEB 28, 2005 09:31:00 Ttl Pd \$0.00 Nbr-0000546914 LUP/RB/1-1
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SPACE ABOVE THIS LINE

NOTICE OF COMPLETION 02-103009

NOTICE IS HEREBY GIVEN THAT:

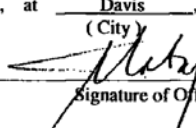
- The undersigned is the owner of the interest or estate stated below in the property hereinafter described.
- The full name of the owner is **DAVIS JOINT UNIFIED SCHOOL DISTRICT.**
- The full address of the owner is **526 B Street , Davis, CA 95616.**
- A work of improvement on the property hereinafter described was completed on February 17, 2005.
 The work done was:
Construction of Davis High School Expansion Project
- The name of the original contractor, if any, on such work of improvement was :
Broward Brothers Construction, Inc.
- The property on which said work of improvement was completed is in the **City of Davis, County of Yolo, State of California** and is described as follows:
Davis High School .
- The street address of said property is:
315 West 14th Street, Davis, CA 95616.

Signature of Owner names In paragraph 2 Or His Agent: 
Romeo Tabaranza, Facilities Administrator In-Charge

VERIFICATION OF OWNERS
 STATE OF CALIFORNIA
 County of Yolo,

I, the undersigned, say ; I am the Facilities Administrator In-Charge, the declarant of the foregoing notice of completion; I have read said notice of completion and know the contents thereof; the same is true of my own knowledge. I declare under penalty of perjury that the foregoing is true and correct.

Executed on 2/18, 2005, at Davis, CA
 (City) (State)


 Signature of Officer

FOR
NOTARY SEAL
OR
STAMP

END OF DOCUMENT 009145 FEB 28 08 1

CHANGE ORDERS

For projects with construction complete or DSA 90 day letters issued prior to November 1, 2012:

All Change Orders incurred during the construction of a project are required to be submitted to and approved by the DSA. The statutes and regulations governing school construction required that all changes to approved construction documents be approved by the DSA prior to the construction of the changes. Since construction usually proceeds faster than a District can obtain full change order approval from their Boards, there existed regulations that allowed the technical portions of a change order to be submitted and approved by the DSA prior to the submittal of the final and fully executed change order. This method utilized the FCD or PCO process. Unfortunately, there are many instances where this process was not followed and there exists change orders that have no DSA approval, yet the construction has been completed. The following information is provided about change order review and approval.

- Upon receipt and review, the DSA produces a Transmittal Memo. Therefore, each Change Order should be accompanied by a DSA Transmittal Memo indicating the review status and other information.
- If the technical aspects of a change order have been approved by the FCD (or PCO) process, then attach a copy of the DSA approved FCD (PCO) to the Change Orders.
- All Change Orders must be approved or otherwise resolved by the DSA prior to project certification.
- Change Orders must be consistent with DSA-102 regarding the contract number and contract amount.
- The number of Change Orders submitted and approved must be consistent with the submitted DSA-6s.
- If the Change Order is not DSA approved, then two sets of the Change Order must be submitted to the DSA for review and approval (include DSA checked comments if the Change Order had been previously submitted and checked but never approved).

Change Order Transmittal Memo – Example

Each Change Order should be accompanied by a Transmittal Memo stamped by the DSE who reviewed and approved it. Verify the Application ID on the Transmittal Memo is correct and that the DSE has signed it.

STATE OF CALIFORNIA Department of General Services Division of the State Architect		Contract 2		SCANNED	
Addendum, Change Order, Drawing, Deferred Approval Worksheet and Transmittal Memo		FILE		DGS	
Project: <u>Res Buys HS</u>		File No: <u>52-43</u>		Application No.: <u>106789</u>	
Change Order Number: <u>1</u>		Addendum Number: <u>1</u>		Deferred Approval: <u>1</u>	
List of Material Received:		A. Master: <u>1</u>		B. Copies: <u>2</u>	
C. Tracing (s) each: of Sheet (s) Number (s):		D. Prints (s) each: of Sheet (s) Number (s):		E.	
F.		List of Material Approved: <u>A & B</u>		To: <input checked="" type="checkbox"/> Architect <input type="checkbox"/> Structural Engineer	
List of Material: <input checked="" type="checkbox"/> Sent <input type="checkbox"/> Handed <input type="checkbox"/> Faxed		Item: <u>A & C of B</u>		SENT: To: _____ From: <u>G. Freeman</u> Co: _____ Pgs: _____ Fax: _____ Phone: <u>916-445-0737</u>	
Remaining Requirements: <input checked="" type="checkbox"/> NONE		<input type="checkbox"/> Additional information required <input type="checkbox"/> Corrections Required <input type="checkbox"/> Change Order Required If corrections are required, please return the following items: 1) THIS TRANSMITTAL SHEET 2) The Complete, intact, marked-up review set. 3) One copy and one original of the corrected submittal 4) Calculations, drawings and any other requested information 5) Drawings bearing preliminary approval stamps so as to avoid re-review when possible		APPROVED DIV. OF THE STATE ARCHITECT SACRAMENTO REGIONAL OFFICE AC _____ F/Ls _____ SS <u>SS</u> APR. # <u>106789</u> DATE <u>7-13-06</u>	
Remarks:		DSA BUSINESS SECTION DATE SENT <u>07-13-06</u> Initials <u>SS</u> In Tracker yes <u>no</u> <u>US mail</u>			
Notes For Clerical Use Only:		<input type="checkbox"/> Please make a file copy of: _____ <input type="checkbox"/> Extend Plans and Specifications Approval to cover: _____ <input type="checkbox"/> Revised Plans and Specifications: _____ <input type="checkbox"/> Additional: Plans and Specifications Scope Increase: _____		Type of Approval: <input checked="" type="checkbox"/> Not Required	
Checked by: <u>GERALD FREEMAN</u>		F.L.S. <input checked="" type="checkbox"/> Not Required		A.C.S. <input checked="" type="checkbox"/> Not Required	
Approved by: <u>GJF</u>					
Date: <u>7-13-06</u>					

Change Order – Example

Verify the accuracy of the Application ID, Project Name, Change Order Number, Original Contract Amount, Contractor's Name, Total Dollar Amount of the Change Order, and DSA Approval Stamp with App#, SS initials, and date.

CHANGE ORDER		OWNER: Red Bluff Joint Union High School District	
AIA DOCUMENT G701 (REPLICATED DOCUMENT)		ARCHITECT: Nichols, Melburg & Rossetto	
PROJECT: Multi Purpose Building Red Bluff High School Red Bluff, CA		CONTRACTOR: Tom Hill Construction Company, Inc.	
TO CONTRACTOR: Tom Hill Construction Co., Inc. P.O. Box 258 Vina, CA 96092		ARCHITECT'S PROJECT NO: 03-2165.10 CONTRACT FOR: Multi-Purpose Bldg.	
CHANGE ORDER NUMBER: One DATE: June 1, 2006		CONTRACT DATE: 9/8/05	
The Contract is changed as follows:			
1.01 Provide credit for PVC conduits not installed. Reference: COR 1 Requested By: Owner Reason: Load required larger conductors.		Delete	(\$719.00)
1.02 Replace 3/0 THHN & #3 gnd. with 1 500 MCM THHN & #3 gnd. Reference: COR 2 Requested By: Architect Reason: To provide adequate feed to panel.		ADD	\$1,089.92
1.03 Provide over-excavation at 3 column footings. Reference: COR 3 Requested By: Inspector Reason: Accommodate DSA requirement for bearing angles near obstructions.		ADD	\$4,441.59
1.04 Grant contract time extension (62 days) for structural steel. Reference: COR 4 Requested By: Contractor Reason: Raw supply delays.		N/A	N/A
1.05 Provide and install full traffic pavement profiles at both ends of sidewalk (conc.). Reference: COR 5 Requested By: Owner Reason: To provide traffic surface for buses and trucks.		ADD	\$5,716.74
1.06 Provide blockouts in foundation curb for column baseplates. Reference: COR 7 Requested By: Architect Reason: Base plates intruded into wall-line, curbs later recast.		ADD	\$1,700.40
1.07 Provide roof mounted handrail at roof hatch. Reference: COR 8 Requested By: Owner Reason: Increased safety at roof edge.		ADD	\$2,294.25

Page 1 of 2

CHANGE ORDERAIA DOCUMENT G701
(REPLICATED DOCUMENT)OWNER: Red Bluff Joint Union High School District
ARCHITECT: Nichols, Melburg & Rossetto
CONTRACTOR: Tom Hill Construction Company, Inc.
FIELD FILE # 52-H3
OTHER APPL. # 02-106789PROJECT: Multi Purpose Building
Red Bluff High School
Red Bluff, CACHANGE ORDER NUMBER: One
DATE: June 1, 2006TO CONTRACTOR: Tom Hill Construction Co., Inc.
P.O. Box 258
Vina, CA 96092ARCHITECT'S PROJECT NO: 03-2165.10
CONTRACT FOR: Multi-Purpose Bldg.

CONTRACT DATE: 9/8/05

1.05 Provide and install full traffic pavement profiles at both ends of sidewalk (base & ac). Reference: COR 10 Requested By: Owner Reason: To provide traffic surface for buses and trucks.	ADD	\$3,135.22
1.06 Provide and install additional elec. for BB Backstops and scoreboards. Reference: COR 13 Requested By: Owner Reason: To provide power for public address system.	ADD	\$10,500.65
1.06 Provide and install conduit and wiring for 2 duct detectors. Reference: COR 15 Requested By: Architect Reason: To provide connection to signal initiation cabinet.	ADD	\$2,070.00
TOTAL AMOUNT OF CHANGE ORDER NO. ONE		\$30,229.77

NOT VALID UNTIL SIGNED BY THE OWNER, ARCHITECT AND CONTRACTOR.

The original Contract Sum	\$2,194,264.00
Net Change by previously authorized Change Orders	0
The Contract Sum prior to this Change Order	\$2,194,264.00
The Contract Sum will be increased by this Change Order in the amount of	\$30,229.77
The new Contract Sum including this Change Order will be	\$2,224,493.77
The Contract Time will be extended	70 Days

Note: This summary does not reflect changes in the Contract Sum, Contract Time or Guaranteed Maximum Price which have been authorized by Construction Change Directive.

NICHOLS, MELBURG & ROSSETTO

TOM HILL CONSTRUCTION
COMPANY INC.
CONTRACTOR
P.O. BOX 258
VINA, CA 96092RED BLUFF JOINT UNION HIGH
SCHOOL DISTRICT
OWNER
1525 DOUGLASS ST.; PO BOX 1507
RED BLUFF, CA 96080-1507ARCHITECT
300 KNOLLCREST DRIVE
REDDING, CA 96002BY: [Signature]
DATE: 6-13-06BY: Tom Hill
DATE: 6-15-06BY: Katula
DATE: 7-6-06

CHANGE ORDERS / DSA-102 / DSA-6 INTERDEPENDENCIES

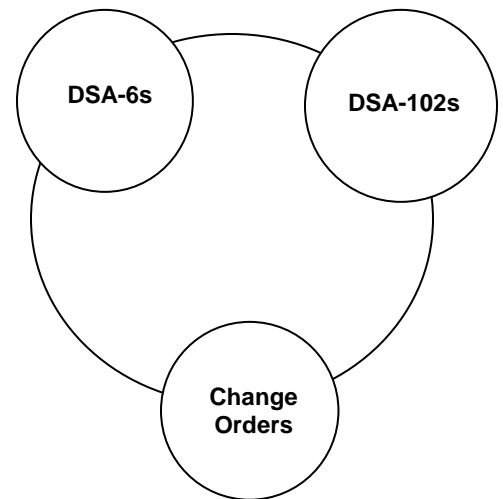
Although DSA-102s, Change Orders, and DSA-6s are discussed individually in this guide, the acceptability of each is dependent upon the others.

If all documents have been submitted and completed correctly, DSA-102s, Change Orders, and DSA-6s can be accepted.

Unfortunately, the correct submission and completion of documents generally does not happen and therefore all or some of these documents are rejected on a regular basis.

The following interdependencies must be analyzed to determine if any DSA-102s, Change Orders, or DSA-6s must be rejected:

- DSA-102(s) should cover all contracts associated with the scope being closed. Coverage is determined by examining the scope portion of the DSA-102.
- DSA is required to approve ALL Change Orders associated with each contract. Determining the presence and number of Change Orders is accomplished by examining the number of Change Orders indicated on the DSA-6 forms versus the number of Change Orders in the file.
- The DSA-6 forms should cover the entire scope being closed and the number of change orders approved should be indicated.



CONSTRUCTION CHANGE DOCUMENTS (CCD)

For projects in construction after November 1, 2012:

After a contract for the work has been let, changes to the approved construction documents shall be made by means of Construction Change Documents (CCD) (see IR A-6).

It is the responsibility of the design professional in general responsible charge to determine if changes affect the Structural, Access or Fire & Life Safety portions of the project.

The design professional in responsible charge shall prepare the CCD and is responsible for code and process compliance.

The CCD process replaces the need to submit change orders. Thus for projects subject to the CCD process, change orders are not required to be submitted to DSA.

Changes to the construction cost are reported to DSA using form DSA-168 at the conclusion of the project.

Changes to or affecting the Structural, Access or Fire-Life Safety Portions of the Project:

- These changes shall be classified as **CCD Category A**.
- CCD Category A are required to be submitted to and approved by the DSA prior to commencement of the affected work.
- CCD Category A must be submitted to the DSA using the CCD Category A form, DSA-140.

Changes not affecting the Structural Safety, Access Compliance or Fire & Life Safety portions:

- These changes shall be classified as **CCD Category B**.
- CCD Category B are not required to be submitted to the DSA unless specifically required, in writing, by DSA.
- If DSA requires any CCD Category B to be submitted then they shall be submitted to the DSA using the Category B form, DSA-141.
- If DSA requires a CCD Category B to be submitted then the DSA will review for concurrence that it does not contain changes to, or affect the Structural, Access or Fire & Life safety portions of the project. If necessary, and at its sole discretion, the DSA will re-assign the CCD to Category A.


DEFERRED APPROVALS

A Deferred Approval represents a portion of the construction that cannot be fully detailed on the originally approved drawings because of variations in product design and manufacture. Approval of plans for such a portion may be deferred until the material suppliers are selected. All Deferred Approvals identified during the plan approval phase are required to be submitted and approved by the DSA. The statutes and regulations governing school construction require that all Deferred Approvals be approved by the DSA prior to the construction of the deferred portion. Unfortunately, there are many instances where these regulations were not followed and there exist Deferred Approvals that have no DSA approval, yet the construction has been completed. The following information is provided about Deferred Approval review and approval.

- Upon receipt and review, the DSA produces a Transmittal Memo. Therefore, each Deferred Approval should be accompanied by a DSA Transmittal Memo indicating the review status and other information.
- Required Deferred Approvals are shown on the DSA approved plans and original DSA approval letter.
- See DSA IR A-19 for a full discussion about required design professional signatures on Deferred Approvals.
- If the Deferred Approval is not DSA approved then two sets of the deferred construction documents (drawings and supporting data such as calculations, manufacturer data, etc.) must be submitted to the DSA for review and approval (include the DSA check set if the Deferred Approval had been previously submitted and checked but never approved).
- All Deferred Approvals must be resolved prior to project certification.
- Types of Deferred Approvals must be consistent with those shown on the DSA approved project plans. If changes to the plans have caused Deferred Approvals to be added or deleted then those plan changes must be approved by the DSA.

Deferred Approval Transmittal Memo Example

The DSA is specifically looking at the circled information for completeness and accuracy.

STATE OF CALIFORNIA Department of General Services Division of the State Architect Addendum, Change Order, Drawing, Deferred Approval Worksheet and Transmittal Memo			
Project : WASHINGTON ELEMENTARY		File No: 34-53	Application No. : 02-108792
Change Order Number:	Addendum Number:	Deferred Approval : Elevator Guide Rails	Other :
List of Material Received :	A. Master :		
	B. Copies: 2		
	C. Tracing (s) each : of Sheet (s) Number (s) :		
	D. Prints (s) each : of Sheet (s) Number (s) :		
	E.		
	F.		
List of Material Approved :	B		
List of Material : <input checked="" type="checkbox"/> Sent <input type="checkbox"/> Handed <input type="checkbox"/> Faxed	To: <input checked="" type="checkbox"/> Architect <input type="checkbox"/> Structural Engineer <div style="float: right;"> SENT : To : Co : Fax : </div> <div style="float: right; border: 1px solid black; padding: 2px;"> From : G. Freeman Pgs : Phone : 916-445-0737 </div>		
Remaining Requirements : <input checked="" type="checkbox"/> NONE	<input type="checkbox"/> Additional information required <input type="checkbox"/> Corrections Required <input type="checkbox"/> Change Order Required If corrections are required; please return the following items : 1) THIS TRANSMITTAL SHEET 2) The Complete, intact, marked-up review set. 3) One copy and one original of the corrected submittal 4) Calculations, drawings and any other requested information 5) Drawings bearing preliminary approval stamps so as to avoid re-review when possible Remarks :		
Notes For Clerical Use Only :	<input type="checkbox"/> Please make a file copy of : _____ <input type="checkbox"/> Other : _____ <input type="checkbox"/> Extend Plans and Specifications Approval to cover : _____ <input type="checkbox"/> Revised Plans and Specifications : _____ <input type="checkbox"/> Additional: Plans and Specifications Scope Increase : _____ Type of Approval : _____		
Checked by : GERALD FREEMAN	SSS : FLS : <input checked="" type="checkbox"/> Not Required	ACS : <input checked="" type="checkbox"/> Not Required	
Approved by : Gerald Freeman	Date : 8/1/2006		

DIV. OF THE STATE ARCHITECT
 SACRAMENTO REGIONAL OFFICE
 AC _____ F/LS _____ SS _____
 APP. # _____ DATE _____


ADDENDA

Prior to the award of a construction contract, changes to the DSA approved construction documents may be implemented by means of Addenda. All Addenda that change the DSA approved plans and/or specifications are required to be submitted and approved by the DSA. The statutes and regulations governing school construction required that changes to approved construction documents be approved by the DSA prior to the construction of those changes. Unfortunately, there are many instances where these regulations were not followed and there exist addenda that have no DSA approval, yet the construction has been completed. The following information is provided about Addenda review and approval.

- Upon receipt and review, the DSA produces a Transmittal Memo. Therefore, each Addendum should be accompanied by a DSA Transmittal Memo indicating the review status and other information.
- If the Addendum is not DSA approved then two sets of the Addendum (Drawings and supporting data such as calculations, manufacturer data, etc.) must be submitted to the DSA for review and approval (include the DSA check set if the Addendum had been previously submitted and checked but never approved).
- All Addenda must be prepared, written, and signed, by the architect (or engineer) in general responsible charge of the project.
- Significant Addenda (revisions) to the drawings may result in a DSA request for additional fees and/or for the submittal of a new separate application.
- All Addenda must be approved by the DSA prior to project certification.

Addendum Transmittal Memo - Example

The DSA is specifically looking at the circled information for completeness and accuracy.

STATE OF CALIFORNIA Department of General Services Division of the State Architect Addendum, Change Order, Drawing, Deferred Approval Worksheet and Transmittal Memo			
		File No: <u>34-53</u>	Application No.: <u>02-108792</u>
Project: <u>WASHINGTON ELEMENTARY</u>			
Change Order Number:	Addendum Number: <u>1</u>	Deferred Approval:	Other:
List of Material Received:	A. Master:		
	B. Copies: <u>2</u>		
	C. Tracing (s) each:	d. Base (s) Number (s):	
	D. Prints (s) each:	d. Base (s) Number (s):	
	E.		
	F.		
List of Material Approved:	<u>B</u>		
List of Material: <input checked="" type="checkbox"/> Sent <input type="checkbox"/> Routed <input type="checkbox"/> Used	To: <input checked="" type="checkbox"/> Architect <input type="checkbox"/> Structural Engineer		SENT: To: Co: Fax:
			From: <u>G. Freeman</u> Pgs: Phone: <u>916-445-0737</u>
	Issue: <u>1 OF 8</u>		
Remaining Requirements: <input checked="" type="checkbox"/> NONE	<input type="checkbox"/> Additional information required <input type="checkbox"/> Corrections Required <input type="checkbox"/> Change Order Required If corrections are required, please return the following items: 1) <u>THIS TRANSMITTAL SHEET</u> 2) The Complete, intact, marked-up review set. 3) One copy and one original of the corrected submittal 4) Calculations, drawings and any other requested information 5) Drawings bearing preliminary approval stamps so as to avoid re-review when possible		
	Remarks: <div style="border: 1px solid black; border-radius: 50%; padding: 10px; width: fit-content; margin: 10px auto;"> APPROVED DIV. OF THE STATE ARCHITECT SACRAMENTO REGIONAL OFFICE AC: _____ F/LB: _____ SS: _____ APR. # _____ DATE _____ </div>		
Notes For Clerical Use Only:	<input type="checkbox"/> Please make file copy of: _____ <input type="checkbox"/> Other: _____ <input type="checkbox"/> Extend Plans and Specifications Approval to cover: _____ <input type="checkbox"/> Revised Plans and Specifications: _____ <input type="checkbox"/> Additional Plans and Specifications Scope Increase: _____ Type of Approval: _____		
	Checked by: <u>GERALD FREEMAN</u>	FLS: <input type="checkbox"/> Not Required <u>TH</u>	ACB: <input type="checkbox"/> Not Required <u>SY</u>
	Approved by: <u>GF</u>	<u>TH</u>	<u>SY</u>
	Date: <u>8/10/2006</u>	<u>8/10/2006</u>	<u>8/12/2006</u>


REVISIONS

Prior to (or in some cases after) the award of a construction contract, changes to the DSA approved construction documents may be implemented by means of Revisions. All Revisions that change the DSA approved plans and/or specifications are required to be submitted to and approved by the DSA. The statutes and regulations governing school construction required that changes to approved construction documents be approved by the DSA prior to the construction of those changes. Unfortunately, there are many instances where these regulations were not followed and there exist Revisions that have no DSA approval, yet the construction has been completed. The following information is provided about Revision review and approval.

- Upon receipt and review, the DSA produces a Transmittal Memo. Therefore, each Revision should be accompanied by a DSA Transmittal Memo indicating the review status and other information.
- If the Revision is not DSA approved then two sets of the Revision (drawings and supporting data such as calculations, manufacturer data, etc.) must be submitted to the DSA for review and approval (include the DSA check set if the Revision had been previously submitted and checked but never approved).
- All Revisions must be prepared, written, and signed, by the architect (or engineer) in general responsible charge of the project.
- Significant revisions to the drawings may result in a DSA request for additional fees and/or for the submittal of a new separate application.
- All revisions must be approved by the DSA prior to project certification.

Revision Transmittal Memo – Example

The DSA is specifically looking at the circled information for completeness and accuracy.

STATE OF CALIFORNIA Department of General Services Division of the State Architect Addendum, Change Order, Drawing, Deferred Approval Worksheet and Transmittal Memo				
			File No: <u>34-53</u>	Application No.: <u>02-108,792</u>
Project: <u>WASHINGTON ELEMENTARY</u>				
Change Order Number:		Addendum Number:	Deferred Approval:	Other: <u>REVISION #1</u>
List of Material Received:	A. Master:			
	B. Copies: <u>2</u>			
	C. Tracing (x) each: of Base (x) Number (x):			
	D. Prints (x) each: of Base (x) Number (x):			
	E.			
	F.			
List of Material Approved:	B			
List of Material:	To: <input checked="" type="checkbox"/> Architect <input type="checkbox"/> Structural Engineer		SENT:	
			To:	From: <u>G. Freeman</u>
			Co:	By:
			Fax:	Phone: <u>916-445-0131</u>
	Issue: <u>1 OF ITEM B</u>			
Remaining Requirements:	<input type="checkbox"/> Additional information required <input type="checkbox"/> Corrections Required <input type="checkbox"/> Change Order Required			
	<input checked="" type="checkbox"/> NONE			
	If corrections are required, please return the following items: 1) THIS TRANSMITTAL SHEET 2) The Complete, in set, marked-up review set. 3) One copy and one original of the corrected submittal 4) Calculations, drawings and any other requested information 5) Drawings bearing preliminary approval stamps so as to avoid re-review when possible			
	Remarks:			
Notes For Client Use Only:	<input type="checkbox"/> Please make a copy of: _____ <input checked="" type="checkbox"/> Other: <u>Removed Skyline D.A. from application</u>			
	<input type="checkbox"/> Extend Plans and Specifications App review to cover: _____			
	<input type="checkbox"/> Revised Plans and Specifications: _____			
	<input type="checkbox"/> Additional Plans and Specifications Scope Increase: _____ Type of Approval: _____			
Checked by:	SSS: <u>GERALD FREEMAN</u> TH: <input type="checkbox"/> Not Required TH: _____	ACR: <input type="checkbox"/> Not Required S YASSA		
Approved by:	Gerald Freeman	TH	S YASSA	
Date:	1/15/07	1/15/07	1/15/07	

Form No. 530 (4-1)
REV 5/99

FEES

Education Code, Sections 17300 and 81133, and California Code of Regulations (CCR), Title 24 Part 1 (the California Administrative Code), Sections 4-320 through 4-326 define project fees. At the conclusion of construction, fees may be due to the DSA. In these instances, invoices are generated by the DSA and fees are paid by the District. There are three (3) types of invoices generated by the DSA.

- Original Project Application Fees (70/30 split)
- Additional Fees
- Further Fees

Original Project Application Fees (70/30 split)

Although a rare occurrence, Education Code Section 17300(b) allows schools districts the option to pay the original project application fees in two installments. The installments are 70% of the Structural Safety Review (including FLS) fees at time of project submittal and the remaining 30 % within 5 days of acceptance of the project construction bid. (70/30) The 70/30 Split invoices are generated for the remaining 30% fees, at the time any contractors have been awarded a contract. The status of the payment of this fee is examined at project close out and the fee must be paid prior to project certification.

- Notes:**
1. This split invoice arrangement only applies to SSR fees – ACS fees must be paid in full at the time of application.
 2. When the original DSA Application (DSA-1) is received, the DSA cashier invoices the school district for the outstanding 30% and notifies them that payment is due once any contractors have been awarded a contract. DSA then tags the file “30% outstanding” and/or there is a letter requesting payment of “Field Review Fees” in the file. (DSA will again invoice the 30% upon receipt of form DSA-102 if payment has not yet been received).

Additional Fees

CCR, Title 24, Part I, Section 4-317(f) allows the DSA to invoice for additional fees when the original contract amount of a project exceeds the estimated cost of a project by more than 30%.

The DSA-1 submitted at the beginning of a project contains an estimated cost statement. The architect or engineer in responsible charge of the project is required to submit a DSA-102 Contract Information form to the DSA as soon as a contract has been let. Unfortunately, this is not always done. Additional Fees invoices are created when the contract amounts indicated on the DSA-102s are 30% or more than the estimated cost indicated on the DSA-1.

- For example, the estimated cost of a DSA Application Number is \$1,000,000.00 (\$1M) and the DSA-102 form shows \$2,000,000.00 (\$2M) as the original contract amount. Because the original contract amount exceeds the estimated cost by more than 30% an Additional Fee invoice must be generated.
- The status of the payment of this fee is examined at project closeout and the fee must be paid prior to project certification.

- Notes:**
1. An Additional Fee invoice can also be triggered by multiple DSA-102 forms for multiple contracts because the cumulative amount would apply.
 2. Additional Fee invoices do not include further fees due to Change Orders (see Further Fees, below).

Further Fees

CCR, Title 24, Part I, Sections 4-320 and 324(b) allows the DSA to invoice for further fees when the actual cost of the project exceeds the estimated cost by 5 percent. The Further Fee for such projects shall be based on the difference between the estimated cost (including any adjustments for additional fees) and the actual cost.


- For example, the estimated cost is \$1,000,000.00 (\$1M) and the actual cost (the sum of the DSA-102 and Change Orders amounts) is \$1,999,998.00.
 - Multiply the estimated cost by 1.05:
 $1,000,000 * 1.05 = 1,050,000$
 - The actual cost (\$1,999,998.00) is higher than the above calculated amount; therefore an invoice for Further Fees must be generated.
- Further Fees can be triggered by Change Orders, which increase the actual cost of the project.
- The status of the payment of this fee is examined at project closeout and the fee must be paid prior to project certification.

Fees for Prorated DSA Application Numbers

The above fee information is focused on typical invoices for projects. However, although uncommon, it is possible for a single construction project to have multiple DSA application numbers, each with its own contracts and Change Orders. A single project with multiple DSA application numbers is commonly referred to as having “prorated DSA application numbers.”

In projects with multiple DSA application numbers, each application number must be evaluated separately from the others in order to accurately calculate fees. DSA is not responsible for prorating contract amounts. A complete proration (breakout) must be submitted by the architect and reported on DSA-102s and Change Orders.

Unpaid Invoice – Example



State of California • Department Of General Services • Arnold Schwarzenegger, Governor

DIVISION OF THE STATE ARCHITECT

Regional Office • 1102 O STREET, SUITE 5200 • SACRAMENTO CA 95814 • (916) 445-8730

INVOICE

(Plan/Field Review)

Invoice #: 02 2270

Print Date: 08/09/2005

PARLIER UNIFIED SCHOOL DISTRICT
 900 NEWMARK AVENUE
 PARLIER CA 93648
 Attn: Accounts Payable

Application #: 02-101688

Project: CHAVEZ ELEMENTARY SCHOOL DISTRICT (PARLIER UNIFIED S D)

Scope: ALTS TO FOUR CLSRM. BLDGS AND ADMIN. BLDG.

File ID: 10-105

Billing Details:

Project Contracted Cost:		\$859,000.00			
Change Orders Cost:	+	\$84,820.00			
Final Project Cost:		\$943,820.00			
Estimated Project Cost:	-	\$725,500.00	----->	Cost Augmentation:	\$218,320.00

	<u>Filing</u>	<u>Additional</u>	<u>Further</u>	<u>Alternate Design</u>	<u>Overtime</u>	<u>Total</u>
Access Compliance	\$0.00	\$133.50	\$84.82	\$0.00	\$0.00	\$218.32
Structural Safety	(\$1.00)	\$934.50	\$593.74	\$0.00	\$0.00	\$1,527.24
Miscellaneous	\$0.00					
				Total Amount Due :		\$1,745.56

Return this portion with payment. - One check per invoice, please

PARLIER UNIFIED SCHOOL DISTRICT

Application#: 02-101688

File ID#: 10-105

Invoice#: 2270

Pay This Amount : **\$1,745.56**


By: 09/07/2005

Amount Enclosed:

Make check payable to:

DIVISION OF THE STATE ARCHITECT


Paid Invoice – Example

 State of California • Department Of General Services • Gray Davis, Governor DIVISION OF THE STATE ARCHITECT Regional Office • 1225 R STREET • SACRAMENTO CA 95814 • (916) 445-8730	
INVOICE (Additional Fee)	
Invoice #: 02 1005	
Print Date: 10/03/2002	
FAIRFIELD - SUISUN UNIFIED SCHOOL DISTRICT 1975 PENNSYLVANIA AVE. FAIRFIELD CA 94533-3692	
Application #: 02-103337 Project: CRESCENT MIDDLE (FAIRFIELD - SUISUN USD) Scope: CONST OF NEW MIDDLE SCHOOL	File ID: 48-16

Billing Details: Pursuant to Title 24 Section 4-317(F), total cost of construction exceeds your original estimated cost by 30% or more the additional fee due is as follows.

Total Contracted Cost:	\$17,100,000.00	
Original Est. Cost:	\$13,000,000.00	
Cost Augmentation:	\$4,100,000.00	

	<u>Filing fee due</u>	<u>Additional fee due</u>	<u>Total fee due</u>
Access Compliance	\$0.00	\$410.00	\$410.00
Structural Safety	\$0.00	\$20,500.00	\$20,500.00
		Total Amount Due :	\$20,910.00



Return this portion with payment. - One check per invoice, please

FAIRFIELD - SUISUN UNIFIED SCHOOL DISTRICT Application#: 02-103337 Invoice#: 1005	Pay This Amount : \$20,910.00 By: 11/02/2002 Amount Enclosed:
---	--

Make check payable to:
 DIVISION OF THE STATE ARCHITECT

CHAPTER 3

RE-EXAMINATION OF CLOSED FILES (RE-OPENING)

GENERAL INFORMATION, REQUIREMENTS AND PROCESS

Once the DSA has closed a project file, it is sent to the State Archives. If the project has been closed “not certified” then that status remains unaltered until such time that the project is certified by the DSA. A project that is closed “not certified” may be re-opened for examination and certification at any time. The following steps are involved in order to have a file “re-opened.”

Send a single, complete, comprehensive package to the DSA that include the following:

- A letter, with the project name and DSA application number, requesting that the project files be re-examined for certification.
- A copy of the “Closed Without Certification” letter issued by the DSA.
- All items, documents and issues listed on the DSA “Closed Without Certification” letter as missing, outstanding or otherwise not resolved
- Re-opening fee as necessary based on the following:
 - a) No fee required for a one-time project re-opening request that is received within 9 months from the date the DSA 90-day letter expires.
 - b) After 9 months from the expiration of the DSA 90-day letter (or any 2nd or subsequent re-opening request) the re-opening fee is based on the project construction cost as follows:

Projects less than \$5 million:	\$500 re-opening fee
Projects between \$5 million and \$50 million:	\$750 re-opening fee
Projects greater than \$50 million:	\$1000 re-opening fee

Partial or otherwise incomplete submittals will be accepted. The DSA will re-examine the submittal and issue an updated “Closed Without Certification” letter or form DSA-311 to show the remaining outstanding documents/issues.

The submitting party (usually Architect or the School/Community College District) then has 90 days from the date on the updated “Closed Without Certification” letter (or DSA-311) to completely resolve and obtain DSA approval of the remaining outstanding documents/issues.

If more than 90 days pass without resolution or DSA approval, the project will again be closed without certification and all the documents returned to the State Archives. The DSA will issue another “Closed Without Certification” letter to show the remaining outstanding documents/issues. *To again re-open the project will require the above process to be followed including paying again the noted re-opening fee.*

- All Change Orders, Addenda, Revisions and Deferred Approvals should be fully approved or otherwise resolved prior to submittal of a re-opening package. Note, merely submitting to the DSA does not constitute approval. All construction documents must be fully approved or otherwise resolved prior to re-opening.
- Re-opening packages that require approved Change Orders, Addenda, Revisions and Deferred Approvals should include the DSA-143 Transmittal Memo indicating DSA approval.

- Required documents sent to the DSA without a cover/transmittal letter and without the re-opening fee will be discarded or returned without any review or DSA tracker updating. After the 90 day letter expiration date, the project files are sent to the State Archives and therefore, since the file is no longer in the regional office, individual additional closing documents cannot be filed.
- Change Orders, Addenda, Revisions, Deferred Approvals and Construction Change Documents (CCD, FCD, PCO) can be submitted after the 90 day letter expiration date. These items may be sent in individually for approval. This type of construction document submittal for approval does not constitute a re-opening.
- When required documents cannot be acquired, approval from the DSA for the omission of required closing documents or alternate documents must be resolved and secured in writing prior to the submittal of the re-opening package by means of completing the form [DSA-311: Request for Examination for Certification Using Education Code 17315\(b\)/81147\(b\)](#).
- When a re-opening package is submitted, complete with the re-opening fee, the project will be assigned to a Project Closing Specialist and the appropriate District Engineer. The file will be re-examined (it may need to be ordered from State Archives) and, if all documentation is correct, the project will receive certification of compliance.
- Projects are re-opened in the order the complete package is received at the DSA for all school districts. The only exception to this rule is if a delay in re-examination process will delay or stop DSA approval of a currently submitted project.
- See DSA Policy [PL 09-04: 90-Day Letter and Reopening of Files for Project Certification](#)).

CHAPTER 4

STRATEGIES FOR PROJECT CERTIFICATION

GENERAL DISCUSSION

Project certification is most readily obtained immediately following substantial completion of the construction. The more time that passes, the more complicated, complex and problematic certification becomes. As time passes, people involved in the process change employment, retire, die or just disappear. Documents become lost, discarded, misfiled or otherwise unobtainable.

Project certification is about document control. Project testing and inspection along with the resulting documentation as well as other required documentation must be established prior to construction and collected during construction. Documents must be gathered and signed by responsible parties before those persons are no longer able to be found. As a backup, copies of documents must be kept by responsible parties (at least until project certification). Documents must be submitted to the DSA, appropriately reviewed/approved, their existence and status accurately recorded, and then correctly filed. Any breakdown in document control leads to uncertified projects.

Project certification for projects that have been previously closed without certification can be an arduous task. It takes good old fashion hard work. A person must be willing to dig through old records, boxes of files, make many phone calls, track down people, write letters, attend meetings, discover and resolve issues and in some cases cause additional testing, inspections and maybe even construction.

This section provides strategies for resolutions to problems encountered during the certification of projects previously closed not certified. Not all problems and resulting strategies are able to be identified and not all those identified are applicable to each project. All projects are unique and unique issues and strategies are expected to be encountered.

BEST PRACTICES

Some projects are very straight forward and easy to certify. While some effort may be required to collect all the documentation, once collected and submitted the certification process proceeds rapidly and smoothly. These projects usually have the following in common:

- Archived (DSA or District archives) plans and documents are available for review.
- The project has DSA approved plans and specifications (DSA approval of plans letter has been issued).
- All construction has been completed in compliance with the approved construction documents.
- All Revisions, Addenda, Deferred Approvals, and Change Orders have been approved by the DSA.
- Project Inspector and design professionals have signed final verified reports (DSA-6).
- All required tests and inspections have been completed with the necessary reports available.
- All DSA Field Trip Note issues, if any, are resolved.
- All fees owed DSA are paid.

SCHOOL DISTRICT PARTICIPATION

For projects that have been closed without certification and are to be re-examined for certification, the school district should be prepared to do the following:

- Hire persons experienced in DSA project closeout (employees and/or consultants).
- Work as a team with the DSA to resolve issues.
- Provide approved plans (and other documents) if the DSA archive record set and/or archive files are not available.
- Complete construction and/or otherwise resolve construction deficiencies/scope.
- Hire new project and/or special inspector as necessary.
- Hire design professionals as necessary to resolve issues.
- Hire a DSA approved Laboratory to perform tests (destructive and/or non-destructive).
- Pay additional fees due the DSA.

DETERMINING PROJECT CERTIFICATION STATUS

The certification status of projects in each individual school district should be determined such that each district develops a list of their projects that are not DSA certified. A project's certification status is most easily determined from the DSA web site (see Appendix C).

If the information is not obtainable from the web site then contact the DSA Regional Office and request a Tracker list of uncertified projects be generated for that specific school district.

OBTAINING PROJECT DOCUMENTS AND INFORMATION

After determining that a project is not DSA certified, the reasons for the lack of certification need to be determined, information gathered and certain documents must be obtained. Information and documents are usually obtained from a variety of sources. These sources include:

- The DSA
- The School District
- Design Professionals
- Inspectors
- Testing Laboratories
- Construction Managers
- Contractors

Obtaining Documents from the DSA

The DSA typically has information and documents that may be of value in pursuing project certification.

- **Closing Letter.** For projects that are uncertified, the DSA closing letter lists those documents that are missing and/or issues that are not resolved. The closing letter may be requested from the DSA.
- **Project plans and specifications** may be obtained by making a request to retrieve them from the DSA archives. The plans and specifications can be viewed at the regional office locations. They cannot leave the custody of the DSA except by a licensed, bonded reprographic company for copying.
- **DSA project files** may be obtained by making a request to retrieve them from the DSA archives. The project files can be viewed at the regional office locations. They cannot leave the custody of the DSA except by a licensed, bonded reprographic company for copying.

The project files are split into “Red Files” and “Black Files”. See Appendix E for more discussion about DSA project files and the organization of the documents in the files

- **History Cards.** For projects where the certification (or lack thereof) is not clear, especially for projects prior to the year 1998, the DSA keeps project history cards and/or closing letter binders. For single project requests, the DSA may search these cards and binders and send the information via fax or e-mail. For multiple projects or district wide projects, the DSA may require the search be made by the requesting party and make the cards and binders available (at the regional office locations).
- **Documents Required List.** For newer projects there may exist an electronic Documents Required List. This list specifies the documents required in order for a specific project to be certified. This Documents Required List is found on our web site (See Appendix C).
- **DSA Electronic Document Storage System (ADM).** Some project documents have been scanned and uploaded into the DSA ADM. Since the ADM is part of the DSA computer network, only DSA employees have access into the ADM. For documents that are known to be previously submitted to DSA but are “missing” a search of the ADM may be requested.

Obtaining Documents from Others

Missing documents and/or alternate documents are frequently found in the files of other parties involved in the design, construction, testing and inspection. Search of the files of the district, design professionals, inspectors, testing laboratories, construction managers and contractors should be made in an effort to locate documents.

CHAPTER 5

ALTERNATE PROCESSES AND DOCUMENTATION

Ed Code Section 17315(b)/81147(b)

I. Overview, Intent, Use and Limitations

This chapter is intended to be used for projects closed without certification because final verified reports required by Education Code, Section 17309/81141 have not been submitted, other required documents have not been submitted, or fees owed to the DSA have not been paid.

The applicability of the alternate processes and documentation discussed in this chapter require expert knowledge of structural engineering, Fire & Life Safety, and Access Compliance practices and requirements; expert knowledge of California school construction; expert knowledge of Title 24 codes; expert knowledge of DSA processes, policies, and procedures; and specific knowledge of each individual project gained by a thorough detailed review of all available project documents.

The use of this chapter of the guide is limited to the following conditions:

- Projects must have been closed without certification.
- The specific project records must be individually examined by DSA staff.
- The applicability of each item listed in this guide must be documented to the file and finally approved by a DSA Structural Engineer or Architect.
- The school/community college district must make a written request to DSA to examine the project, for certification, using Education Code, Section 17315(b)/81147(b). Form DSA-311 is used for this purpose.
- The school/community college district must provide written reasonable justification that indicates why the final verified reports required by Education Code, Section 17309/81141 have not been submitted. Form DSA-311 is used for this purpose.

II. Alternate Processes

This chapter describes four alternate process types (A, B, C, and D). Alternate Processes A and B may be used for any project type. Alternate Process C is limited to one story relocatable buildings. Alternate Process D is for projects with complexities that may not be resolved using this guide.

Below is an in depth discussion of each alternate process type. Appendix A contains information about the DSA authority and justification for alternate certification processes.

A. - Alternate Process Type A

The Verified report from the Project Inspector is typically considered by the DSA to be the single most important document in the file when certifying projects. Thus, for projects where required reports have not been submitted to the DSA due to incapacitating illness, death, or default of any person required to file such reports, DSA has determined a verified report from the Project Inspector may be reasonable and sufficient evidence that the project was constructed in essential compliance with the approved construction documents.

Alternate Process Type A is to be used to determine if these types of projects can otherwise be certified as allowed by Education Code, Section 17315(b)/81147(b). If the following criteria are met then, unless there is compelling evidence to the contrary, it is allowable and reasonable to certify the project. The certification will be DSA Type 2 "Certification of Compliance without Receipt of All Documents" (see page 3).

Criteria:

1. File contains a verified report (form DSA-6, or equivalent) from the Project Inspector. The verified report must show the project is at least 95% complete and contains no identified unresolved Structural, Access, or Fire & Life Safety issues. (Use Alternate Process Type B if missing.)
2. Addenda, Revisions and construction change documents (Change Orders, PCO, FCD) are DSA approved or otherwise resolved. (See Part III, Section 1 for possible resolutions.)
3. Critical Deferred Approval systems must have DSA approval. (See Section 2 for discussion of which Deferred Approval systems have been determined to be critical and thus must be resolved and those that have been determined to be not critical and thus do not require resolution).
4. Verification, by review of the available records, that there is no compelling evidence indicating the following:
 - The Project Inspector did not provide adequate inspections. (Use Alternate Process Type B if evidence is found.)
 - Special inspectors did not provide adequate inspections. (Use Alternate Process Type B if evidence is found. See also Part III, Section 9 for possible resolutions.)
 - Necessary testing was not performed. (Use Alternate Process Type B if evidence is found. See also Section 9 for possible resolutions.)
 - Incomplete construction scope that was required for the project to be compliant with applicable codes governing Structural, Access, or Fire & Life Safety. (See Section 5 for resolution if evidence is found.)
 - Unresolved Structural, Access, or Fire & Life Safety issues recorded in DSA Field Trip Notes or recorded in other documentation. (Use Alternate Process Type B if evidence is found. See also sections 6 and 9 for possible resolutions.)
 - Unresolved defective materials associated with Structural, Access, or Fire & Life Safety portions of the project. (Use Alternate Process Type B if evidence is found. See also Sections 6 and 9 for possible resolutions.)
5. The District must submit a completed form DSA-311. The DSA-311 must include a list of all the documents missing from the DSA files (as listed on the project "Closed Without Certification" letter or discovered by review of the file). Part III, Section 3 provides a comprehensive list of documents that, if required but missing, must be listed on the DSA 311. Section 4 provides a list of documents that are not required to be included in the DSA-311.

[DSA-311: Request for Examination for Certification Using Education Code 17315\(b\) / 81147\(b\)](http://www.documents.dgs.ca.gov/dsa/forms/DSA-311_rev11-07-12.pdf) is available on the DSA website at http://www.documents.dgs.ca.gov/dsa/forms/DSA-311_rev11-07-12.pdf.

6. The District must pay re-opening fees to the DSA in compliance with Chapter 2 and DSA Policy [PL 09-04: 90-Day Letter and Reopening of Files for Project Certification](#), which is available on the DSA website at http://www.documents.dgs.ca.gov/dsa/pubs/PL_09-04_8-19-09.pdf.
7. The District must pay any further or additional fees if owed. If the fees owed are known to DSA closing staff then an invoice can be generated. If fees owed to the DSA are not known then the DSA closing staff will require the District to complete the form DSA-168: Statement of Actual Final Project Cost, and staff will use that information to generate an invoice. [DSA-168: Statement of Final Actual Project Cost](#) is available on the DSA website at http://www.documents.dgs.ca.gov/dsa/forms/DSA-168_rev11-07-12.pdf.
8. Form DSA-102 must be in the file or the District can submit form DSA-168 as an alternate.

B. - Alternate Process Type B

Alternate Process Type B is intended to be used when a verified report from the Project Inspector, as described above in Alternate Process A, has not been submitted to the DSA due to incapacitating illness, death, or default of the Project Inspector. Alternate Process Type B is to be used to determine if these types of projects can otherwise be certified, as allowed by Education Code, Section 17315(b)/81147(b). If the following criteria are met then, unless there is compelling evidence to the contrary, it is allowable and reasonable to certify the project. The certification will be DSA Type 2 "Certification of Compliance without Receipt of All Documents" (see page 3).

Criteria:

1. The issue of the missing (or less than 95%) verified report (form DSA-6, or equivalent) from the Project Inspector must be resolved. (See Section 7 in Part III below for possible resolutions.)
2. The issue of the missing verified reports from all others required to file verified reports must be resolved. (See Section 7 for possible resolutions.)
3. The issue of other required but missing documents and reports must be resolved. (See Section 8 for possible resolutions.)
4. Addenda, revisions and construction changes (Change orders, PCO, FCD) must be DSA approved or otherwise resolved (See Section 1 for possible resolutions.)
5. Critical Deferred Approval systems must have DSA approval. (See Section 2 for discussion of which Deferred Approval systems have been determined to be critical and thus must be resolved and those that have been determined to be not critical and thus do not require resolution.)
6. Any incomplete construction scope that was required for the project to be compliant with applicable codes governing Structural, Access, or Fire & Life Safety must be resolved (See Section 5 for resolution if evidence is found.)

7. Verification, by review of the available records, that there is no compelling evidence indicating the following:
 - Special inspectors did not provide adequate inspections. (See Sections 7 and 9 for possible resolutions.)
 - Necessary testing was not performed. (See Section 9 for possible resolutions.)
8. If there are Structural, Access, or Fire & Life Safety issues recorded in DSA Field Trip Notes or recorded in other documentation, they must be resolved. (See Sections 6 and 9 for possible resolutions.)
9. If there are identified defective materials associated with the Structural, Access, or Fire & Life Safety portions of the project, they must be resolved. (See Sections 6 and 9 for possible resolutions.)
10. The District must submit a completed form DSA-311. The DSA-311 must include a list of all the documents missing from the DSA files (as listed on the project "Closed Without Certification" letter or discovered by review of the file) for which alternate methods are used to resolve. In addition to listing the Verified Report from the Project Inspector as missing, Part III, Section 3, below, provides a comprehensive list of documents that, if required but missing, must be listed on the DSA-311. Section 4 provides a list of documents that are not required to be included in the DSA-311. [DSA-311: Request for Examination for Certification Using Education Code 17315\(b\) / 81147\(b\)](http://www.documents.dgs.ca.gov/dsa/forms/DSA-311_rev11-07-12.pdf) is available on the DSA website at http://www.documents.dgs.ca.gov/dsa/forms/DSA-311_rev11-07-12.pdf.
11. The District must pay re-opening fees to the DSA in compliance with Chapter 2 and DSA [policy PL 09-04: 90-Day Letter and Reopening of Files for Project Certification](http://www.documents.dgs.ca.gov/dsa/pubs/PL_09-04_8-19-09.pdf), which is available on the DSA website at http://www.documents.dgs.ca.gov/dsa/pubs/PL_09-04_8-19-09.pdf.
12. The District must pay any further or additional fees if owed. If the fees owed are known to DSA closing staff, then an invoice can be generated. If fees owed to the DSA are not known, then the DSA closing staff will require the district to complete the form DSA-168 and staff will use that information to generate an invoice. [DSA-168: Statement of Final Actual Project Cost](http://www.documents.dgs.ca.gov/dsa/pubs/PL_09-04_8-19-09.pdf) is on the DSA website at http://www.documents.dgs.ca.gov/dsa/pubs/PL_09-04_8-19-09.pdf.
13. Form DSA-102 must be in the file or the District can submit form DSA-168 as an alternate.

C. - Alternate Process Type C (Relocatable Buildings)

Alternate Process Type C is applicable to one story relocatable buildings of not more than 2,160 square feet and constructed in a manufacturer's plant. This Alternate Process is for the construction of the building superstructure only and is not applicable to the construction to place the building on a site. For the construction placing the building at the site, Alternate Processes Type A, B or D should be used. (See Part III, Section 11 for in-depth discussion of relocatable buildings.)

Alternate Process Type C (building superstructure only) is the same as alternate process Type A or B with the following clarification.

- For the superstructure construction, the Project Inspector is considered to be either the in-plant inspector or the welding inspector. A verified report by either will be considered as a verified report from the "Project Inspector."

D. - Alternate Process Type D

Alternate Process Type D is for projects not likely to be certified using Process Types A, B or C and special consideration is required for resolution that is beyond the intent of this guide. These types of projects could include projects constructed without DSA approval. Sections 1 through 11 of Part III, below, can provide options and concepts for resolutions.

III. Options and Concepts for Resolution

Section 1: Change Orders, Addenda, and Revisions

1.1 Change Orders

The issue of missing and/or unapproved change orders must be resolved on a case by case basis. Change orders may contain construction elements that have not been approved by the DSA and therefore the DSA has no evidence that the changed elements have been designed compliant with the codes:

- 1.1.1. *Change orders affecting Structural Safety, Fire & Life Safety or Access Compliance systems or components.* These types of change orders require DSA approval prior to project certification and therefore must be completely resolved prior to certifying the project.
- 1.1.2. *Change orders not affecting Structural Safety, Fire & Life Safety or Access Compliance systems or components.* These types of change orders will be considered resolved (not requiring DSA approval) for the purpose of certification. Form DSA-310 may be submitted for this purpose.
- 1.1.3. *Change orders that have DSA approval but DSA records and/or DSA Tracker does not show the approval.* DSA will accept a copy of the approved change order or a copy of the DSA-143 showing the change order was approved.
- 1.1.4. *Change orders that are shown as existing but in fact never occurred (or were cancelled).* DSA will accept a letter signed by the design professional in general responsible charge of the project attesting that the change order never occurred (or was cancelled).

1.2 Addenda/Revisions

The issue of missing and/or unapproved Addenda/Revisions must be resolved on a case by case basis. Addenda/Revisions may contain construction elements that have not been approved by the DSA and therefore DSA has no evidence the changed elements have been designed compliant with the codes:

- 1.2.1 *Addenda/Revisions to or affecting Structural Safety, Fire & Life Safety or Access Compliance systems or components.* These types of Addenda/Revisions require DSA approval prior to project certification and therefore must be completely resolved prior to certifying the project.
- 1.2.2 *Addenda/Revisions not affecting Structural, Safety, Fire & Life Safety or Access Compliance systems or components.* These types of addenda/revisions will be considered resolved (not requiring DSA approval) for the purpose of certification. Form DSA-310 may be submitted for this purpose.
- 1.2.3 *Addenda/Revisions that have DSA approval but DSA records and/or DSA Tracker does not show the approval.* DSA will accept a copy of the approved

Addendum/Revision or a copy of the DSA-143 showing the Addendum/Revision was approved.

- 1.2.4** *Addenda/revisions that are shown as existing but in fact never occurred (or were cancelled).* The DSA will accept a letter signed by the design professional in general responsible charge of the project attesting that the addendum/revision never occurred (or was cancelled).

Section 2: Deferred Approvals

- 2.1** *Deferred Approvals required to be approved/resolved:* The following Deferred Approvals have been determined by the DSA to be critical to the safety of the facilities and must be approved or otherwise resolved prior to project certification:

- Fire Sprinklers
- Fire Alarms
- Fire Pumps and Water Tanks
- Store Front Systems greater than 15 ft. in height between supports
- Bleachers
- Stage Rigging
- Trusses
- Exterior Wall Systems
- Skylights
- Lunch/Shade Shelters/any other building type structure

- 2.2** *Deferred Approvals not required to be approved/resolved:* The following Deferred Approvals have been identified by the DSA as minor in nature, operationally tested by the virtue of time passed since installation and thus may be considered as resolved (not required for certification) when examining projects using this alternate process guide:

- Basketball backstops
- Storefront systems 15 ft. and less in height between supports
- Elevator guide rails
- Bookshelves 6 ft. and less in height
- Access flooring 2 ft. and less in height
- Kitchen hoods

Section 3: Missing Documents that must be listed on form DSA-311

- 3.1** Missing Verified Reports from any of the following must be listed on the form DSA-311:
- Form DSA-6A/E from Architects
 - Form DSA-6A/E from Structural Engineers
 - Form DSA-6A/E from Electrical Engineers
 - Form DSA-6A/E from Mechanical Engineers
 - Form DSA-293 (or affidavit) from Geotechnical Engineers
 - Form DSA-292 (or DSA 6) from Special Inspectors
 - Form DSA-6 from In-plant inspectors

- Form DSA-291 (or affidavit) from Testing Laboratories
- Form DSA-6 from Contractors

3.2 Other missing Documents that must be listed on the form DSA-311:

- Weighmaster certificate
- Batch Plant report
- Epoxy and Expansion Anchors inspection/test report
- High Strength Bolt test report
- Masonry Core test reports
- Masonry Block test reports
- Field Bolting inspection report
- Concrete Compression tests reports
- In-plant Precast Concrete inspection reports
- Glu-Lam Fabrication certificates
- Soil Compaction report
- Bleacher affidavits/certificates
- Open Web Wood Trusses reports
- Bleacher affidavits/certificates
- Reinforcing Steel test reports
- Unidentified Steel test reports

Section 4: Missing Documents not required to be listed on DSA-311

4.1 Various missing documents, forms, reports not required to be listed on form DSA-311:

- Notice of Completion
- Grounding test reports
- Form DSA-5
- Shot Pin test report

Section 5: Incomplete Construction Scope

5.1 Incomplete scope that was required for the project to be compliant with applicable codes governing Structural, Access, or Fire & Life Safety must be completed or otherwise resolved in order to certify the construction. Samples of incomplete scope could involve the following:

- Accessible restrooms
- Accessible features (ramps, handrails, signs, parking, doors, thresholds, etc.)
- Fire & Life Safety features (alarms, sprinklers, devices, gates, etc.)
- Structural components (rare but does occur at times)

5.2 Completion of Scope:

There are various ways project scope can be completed:

- If not more than 4 years have passed from the time of the DSA original approval of the project, then the project scope may be completed under the original application number.
- Submit completion of the incomplete work to the DSA as a “new project” under a new application number. The DSA will then link this new application number with the old, uncertified application number and, when all work is complete and all issues resolved, certify both projects together.
- Include completion of the incomplete work as part of a new, different project occurring on the campus. The new DSA application will then include this old, incomplete work as part of the required scope of the new project. DSA will then link this new application number with the old, uncertified application number and, when all work is complete and all issues resolved, certify both projects together. DSA will not continue this linking beyond two projects (in this case the district will need to complete the work as a specific project under an application for which the scope is limited to the incomplete work).

Section 6: Construction Deficiencies

6.1 Resolving the issues of construction deficiencies could include the following:

- Submit documentation to the DSA to show that the construction is compliant with applicable codes and/or regulations. Documents may present alternate methods and materials (as allowed by code) and may include calculations, drawings, research papers, professional papers, testing data, manufacturer literature and/or other documents necessary to present and justify that the as-built condition is appropriate.
- Re-construct the deficient/non-compliant construction under the original application number.
- Submit correction of the deficient/non-compliant work to the DSA as a “new project” under a new application number. The DSA will then link this new application number with the old, uncertified application number and, when all work is complete and all issues resolved, certify both projects together.
- Include correction of the deficient/non-compliant work as part of another new, different project occurring on the campus. The new DSA application will then include this old, incomplete work as part of the required scope of the new project. DSA will then link this new application number with the old, uncertified application number and, when all work is complete and all issues resolved, certify both projects together. DSA will not continue this linking beyond two projects.

Section 7: Missing or Incomplete Verified Reports

7.1 DSA-6 (Project Inspector)

The DSA-6 for the Project Inspector is one of the most important close-out documents. With this document missing or incomplete (less than 95%), certification of the project becomes complex. Below are some possible strategies for resolution that can be pursued.

- If the Project Inspector is refusing to provide a signed DSA-6, then contact the DSA Regional Office Supervisor for the Field Unit. DSA can order the Project Inspector to submit the form.

- The District can hire a California licensed Architect and/or Structural Engineer to produce and submit a report that provides reasonable evidence that appropriate inspections have been performed and that, based on their research, document review and professional judgment, the materials and construction were found to be in essential compliance with the approved construction documents and applicable building codes. With such evidence, the DSA can make the reasonable conclusion that, if it were possible, the Project Inspector would have signed a DSA-6 form. Acceptance of this alternative by the DSA will be predicated on many factors including project type, construction type, material type, other project documentation, structural significance, life/safety hazards, professional judgment, and professional experience. The evidence and report must include:
 - Written concurrence by the DSA that this alternative is acceptable for the subject project.
 - Daily special inspection logs, semi-monthly reports or quarterly reports showing that the Project Inspector was present at the site, performing inspections, the inspection results and a time comparison correlation that makes it reasonable to assume the logs and/or reports cover the entire construction period.
 - DSA Field Trip Notes, if any.
 - A DSA-6 signed by the Architect and/or Structural Engineering preparing the report stating that, based on their research, document review, and professional judgment, the materials and construction were found to be in essential compliance with the approved construction documents and applicable building codes (Structural, Fire Life Safety and Accessibility) in effect at the time of construction.
- Develop a post construction inspection program. The program must include the following components:
 - The program must be developed by a California licensed Architect and/or Structural Engineer.
 - The program must be submitted to and approved by the DSA.
 - The inspector involved in the program must be DSA approved.
 - The inspector involved in the program must file a DSA-6 at the conclusion of the program inspections.
 - The person who developed the program must file a DSA-6A/E specifically stating the inspection was conducted in accordance with the DSA approved program.

7.2 DSA-6A/E (Design Professional in General Responsible Charge)

This is the person listed on the DSA-1 project application as the person responsible for the preparation of the plans and specifications and observations of construction. Usually this is the project Architect, but is sometimes listed as a Structural Engineer, Mechanical Engineer or Electrical Engineer.

- Alternate resolution to missing or incomplete form DSA 6A/E may be for the District to hire a California licensed Architect or Structural engineer to produce and submit a report that provides reasonable evidence that, based on their research, document review, site visits, and professional judgment, the materials and construction were found to be in essential compliance with the approved

construction documents and applicable building codes (Structural, Fire Life Safety and Accessibility). With such evidence, DSA can make the reasonable conclusion that, if it were possible, the original design professional in responsible charge would have signed a DSA-6A/E form. The evidence and report must include:

- Forms DSA-291, DSA-292, DSA-293 and DSA-6 as applicable (or alternates as discussed in this guide),
- DSA Field Trip Notes, if any,
- DSA-108,
- A DSA-6A/E signed by the Architect or Structural Engineering preparing the report stating that, based on their research, document review, site visits, and professional judgment, the materials and construction were found to be in essential compliance with the approved construction documents and applicable building codes in effect at the time of construction.

7.3 DSA-6A/E (Other Design Professionals)

These are the design professionals listed on the DSA-1 project application that have been delegated the responsibility for the preparation of specific portions of the plans and specifications and observations of construction. Usually these design professionals are the Structural Engineer, Mechanical Engineer, Electrical Engineer (and sometimes Architects).

- Alternate resolution to missing or incomplete DSA-6A/E may consist of the following:
 - A DSA-6A/E (or alternate as described above) from the design Professional in responsible charge. The DSA-6A/E must include a statement (or attached letter) that states that, based on their research, document review, site visits, and professional judgment, the materials and construction for those portions of the project (actually list the portion) delegated to other design professionals (actually list the design professional) were found to be in essential compliance with the DSA approved construction documents and applicable building codes in effect at the time of the construction.

7.4 DSA-6 (Contractors)

If the required reports have not been submitted to DSA due to incapacitating illness, death or default of any contractor required to file such reports, then list those missing documents on the form DSA-311 and no other action is required.

7.5 DSA-291 (Testing Laboratory)

If the DSA-291 is missing and/or there are missing tests, then a new form must be submitted, and/or additional tests must take place, and/or alternate methods must be presented to and approved by the DSA. The following options are available:

- The DSA will accept an affidavit ("Customized lab verified report"), signed by the lab manager, stating that all required testing has been completed (only for projects that construction was completed prior to January 1, 2006. Otherwise use form DSA-291).
- The DSA will accept a DSA-6 form signed by the lab manager stating that all required testing has been completed (only for projects that construction was completed prior to January 1, 2006. Otherwise use form DSA-291).

- If the laboratory engineer is refusing to provide a signed DSA-291, then contact the DSA Regional Office Supervisor for the Field Unit. The DSA may be able to assist by ordering the laboratory to issue the form.
- Submit evidence that all testing has been performed and that the materials/construction was found to be in compliance with the construction documents. With such evidence, the DSA can make the reasonable conclusion that if it were possible, the laboratory engineer would have signed a DSA-291 form. The evidence must include:
 - Laboratory tests and their results,
 - Proof that the tests submitted included all the required testing for the project. Such proof could be a comparison between the submitted documentation and the project approved T& I sheet or a statement from the design professional that describes the construction, the materials used, all code required testing and comparison of the submitted documentation with the code required testing.
- Perform in-situ tests for some or all the testing missing. After which, submit the DSA-291 form.
- Develop a testing program for the missing tests. The program must include the following components:
 - The program must be developed by a California licensed Architect and/or Structural Engineer.
 - The program must be presented to and approved by the DSA
 - The Testing Laboratory involved in the program must be currently on the [LEA accepted laboratory list](#).
 - The Laboratory Manager for the Testing Laboratory involved in the program must file a DSA-291 at the conclusion of the testing program.
 - The person who developed the program must file a DSA-6A/E specifically stating that the testing was conducted in accordance with the DSA approved program.
- Submit documentation to the DSA to show the identified tests are not necessary in order to provide proof that the materials used and/or construction were reasonably compliant with the applicable codes and/or regulations. Acceptance by the DSA will be predicated on many factors including project type, construction type, material type, other project documentation, structural significance, life/safety hazards, professional judgment, and professional experience. The documents presented must be prepared by a California licensed Architect or Structural Engineer and must include written narrative. These documents may include:
 - Evidence that the materials did not occur in the construction and therefore the testing was not required.
 - Alternate methods (as allowed by code) which may consist of calculations, drawings, research papers, professional papers, testing data, manufacturer literature and/or other documents necessary to present and justify the as-built condition is appropriate.
 - Structural calculations showing capacity versus demand stress levels are very low (1/2 stress). This is very problematic for the DSA to accept

and is very much tied into structural significance and/or potential structural hazards present.

- If testing was performed by a laboratory that was not an LEA laboratory, then the DSA will not accept a verified lab report from that facility. One resolution to this issue is for the district to hire an LEA Laboratory (the “assuming” laboratory) to review the non-approved lab records, project records, test results, and any other documentation necessary to determine if all testing required for the project was completed and if the testing results show the tested materials were in compliance with the approved construction documents. The assuming laboratory may need to perform additional tests and/or inspections to reach such a conclusion. Upon reaching the said conclusion, the assuming laboratory shall then submit a fully executed DSA-291 form to the DSA.

7.6 DSA-292 (Special Inspectors)

If the DSA-292 is missing and/or there are missing special inspections, then a new form must be submitted, and/or additional inspections must take place, and/or alternate methods must be presented to and approved by the DSA. The following options are available.

- The DSA will accept an affidavit (“Customized special inspection verified report”), signed by the Special Inspector, stating that the specifically listed required special inspection has been completed and the construction found to be in compliance with the construction documents (only for projects that construction was completed prior to January 1, 2006. Otherwise use form DSA-292).
- DSA will accept a DSA-6 form signed by the Special Inspector, stating that the specifically listed required special inspection has been completed and the construction found to be in compliance with the construction documents (only for projects that construction was completed prior to January 1, 2006. Otherwise use form DSA-292).
- If the special inspector is refusing to provide a signed DSA-292, then contact the DSA Regional Office Supervisor for the Field Unit. The DSA may be able to assist by ordering the special inspector to issue the form.
- Submit evidence the special inspection has been performed and the materials/construction was found to be in compliance with the construction documents. With such evidence, the DSA can make the reasonable conclusion that, if it were possible, the special inspector would have signed a DSA-292 form. The evidence must include:
 - Daily special inspection logs and/or reports showing the inspections, the results, and a time comparison correlation that makes it reasonable to assume the logs/reports cover the entire period that encompassed the construction that required the special inspection(s).
- If the Special Inspector cannot be located and was employed (by contract or direct employee) by an LEA laboratory, then the DSA may consider the special inspection work to have been performed under the direct supervision of a California Licensed Civil Engineer (the laboratory managing civil engineer) and therefore will accept a letter (stamped and signed) from that Civil Engineer (the laboratory managing civil engineer) that states the following:
 - “I (the Civil Engineer) certify under penalty of perjury that the special inspections (list what inspections) were performed under my direct

supervision; that I am sufficiently experienced in the technical aspects of the subject inspections to provide professional engineering opinions on the subject; and that I have reviewed the special inspection records and I find that the special inspections were properly executed and the inspected construction complies with the approved construction documents.”

- Develop an inspection program for the missing inspections. The program must include the following components:
 - The program must be developed by a California licensed Architect and/or Structural Engineer.
 - The program must be presented to and approved by the DSA
 - The inspector involved in the program must be DSA approved.
 - The inspector involved in the program must file a DSA-292 at the conclusion of the inspections program.
 - The person who developed the program must file a DSA-6A/E specifically stating the inspection was conducted in accordance with the DSA approved program.
- Submit documentation to the DSA to show the identified inspections are not necessary to provide proof that the materials used and construction were reasonably compliant with the applicable codes and/or regulations. Acceptance by the DSA will be predicated on many factors including project type, construction type, material type, other project documentation, structural significance, life/safety hazards, professional judgment, and professional experience. The documents presented must be prepared by a California licensed Architect or Structural Engineer and must include written narrative. These documents may include:
 - Evidence that the construction identified as requiring special inspection did not occur and therefore the special inspection was not required.
 - Alternate methods (as allowed by code) which may consist of calculations, drawings, research papers, professional papers, testing data, manufacturer literature, and/or other documents necessary to present and justify that the as-built condition is appropriate.
 - Structural calculations showing capacity versus demand stress levels are very low (1/2 stress). This is very problematic for the DSA to accept and is very much tied into structural significance and/or potential structural hazard present.

7.7 DSA-293 (Geotechnical Verified Report)

Soil compaction issues for the older projects, being examined using Alternate Process B, should have manifested over the elapsed period of time. In addition, the soil compaction was performed under the observation of the Project Inspector. The following provides three alternate means of resolution:

- A California licensed Architect, Structural Engineer or Geotechnical Engineer provide site investigations and review all available geotechnical documents and test results as necessary to provide to the DSA a report of their efforts and findings. The report must include:
 - A description of and findings of the site investigations and review of all available geotechnical documents, and test results.

- A statement from the Architect, Structural Engineer, or Geotechnical Engineer that, in his/her professional opinion, the as-constructed geotechnical conditions are appropriate for the intended use.
- Develop an inspection and testing program for the missing geotechnical tests and inspections. The program must include the following components:
 - The program must be developed by a California licensed Geotechnical Engineer.
 - The program must be presented to and approved by the DSA
 - The Geotechnical Engineer, laboratory and inspector involved in the program must be DSA approved.
 - The Geotechnical Engineer involved with the program must file a DSA-293 at the conclusion of the program
- Submit documentation to the DSA to show geotechnical tests and inspections (engineered fill) were not necessary and the earthwork constructed was reasonably compliant with the applicable codes and/or regulations. Acceptance by the DSA will be predicated on many factors including project type, construction type, soil type, other project documentation, structural significance, geotechnical hazards, professional judgment, and professional experience. The documents presented must be prepared by a California licensed Geotechnical Engineer and must include written narrative.

Section 8: Other Missing Documents and Reports

The follow provides guidance on the necessity of other documents or reports to be in the DSA file in order to certify the project using process Type B

8.1 Notice of Completion

A Notice of Completion provides no information about compliant construction. A missing Notice of Completion is not considered by the DSA to result in a health or safety concern. The document is not required for certification of projects when using the alternate processes discussed in this chapter.

8.2 Grounding Test

A Project Inspector Verified Report (or resolution thereof) is considered to provide adequate confirmation of the installation of the grounding components. Typical school building construction does not require an independent report for grounding test. Modular buildings and other miscellaneous structures have no unique characteristics compared to typical school construction that would lead to a specific need to provide the test. The report is not required for certification of projects when using the alternate processes discussed in this chapter.

8.3 Form DSA-5

This is a document that inspectors use to obtain approval to provide inspections for the project. Since these projects are already complete, inspections have already taken place and thus proof of the approval of the inspector is not at question and provides no information about compliant construction. The document is not required for certification of projects.

8.4 Weighmaster Certificate

Concrete delivery is considered by the DSA to be essentially compliant with construction standards used in the State of California without being evidenced by a Weighmaster Certificate. In addition, for structural concrete, testing for compressive

strength is conducted, thus verifying the concrete strength. If the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

8.5 Batch Plant Report

Concrete batching and delivery is considered by the DSA to be essentially compliant with construction standards used in the State of California without being evidenced by a Batch Plant Report. In addition, for structural concrete, testing for compressive strength is conducted thus verifying the concrete strength. If the required report has not been submitted to DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

8.6 Epoxy and Expansion Anchors Test Report

The issue of missing epoxy/expansion installation testing reports must be resolved. The importance of the use dictates the necessity of obtaining the missing reports. Below are listed those uses that, when examining projects using this Alternate Process, may result in the need for a testing report to be submitted to the DSA prior to project certification and those for which report submittal will not be necessary.

8.6.1 Uses that may result in the need for a report to be submitted:

For project scope other than mechanical, electrical, plumbing (MEP) and non-structural, as shown in Sections 8.6.2.1 and 8.6.2.2, the issue of missing epoxy/expansion anchor testing report must be resolved on a case by case basis. Structural use of these anchors requires submitted reports or other resolution.

8.6.2 Use that may result in the DSA not requiring a report to be submitted:

8.6.2.1 For project scope of MEP.

It has been determined by the DSA that epoxy and expansion anchors are used for attachment of non-structural elements. The project should be examined for this use and a case by case determination made. The installation of these fasteners is inspected by the Project Inspector. Test reports for load testing these fasteners have been determined by the DSA to be redundant to the inspection and not necessary for non-structural applications. For the scope of MEP, the lack of this report is not considered by the DSA to result in a health or safety concern. The issue of missing epoxy/expansion anchor test report for MEP scope is thus considered resolved (not required for certification) when examining projects using Alternate Process B.

8.6.2.2 For project scope involving non-structural use of epoxy/expansion anchors (such as for the connection of non-bearing/non-structural walls and other similar use).

The project should be examined for this use and a case by case determination made. The installation of these fasteners is inspected by the Project Inspector. Test reports for load testing these fasteners have been determined by the DSA to be redundant to the inspection and not necessary for non-structural applications. For the scope of non-structural use, the lack of this report is not considered by the DSA to result in a health or safety

concern. If the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

8.7 Shot Pin Test Report

Shot pins (air or powder driven fasteners) are used for attachment of minor non-structural elements. The installation of these fasteners is inspected by the Project Inspector. Test reports for load testing these fasteners have been determined by the DSA to be redundant to the inspection and not necessary for non-structural applications. The report is not required for certification of projects when using the alternate processes discussed in this chapter.

8.8 High Strength Bolt Test Report

High strength bolts provided for construction in California are considered by the DSA to be essentially compliant with the ASTM material standards without being evidenced by a specific testing report (except when the bolts are determined to be unidentified by lacking the required markings). For typical building construction other than schools and hospitals, testing of properly identified bolts is not required. If the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required. Where there is evidence unidentified bolts were used, test reports are required.

8.9 Masonry Core Test Reports

Reinforced, solid grouted masonry construction is considered by the DSA to be essentially compliant with construction standards used in the State of California without being evidenced by a masonry core test report. For typical building construction other than schools and hospitals, a masonry core test is not required. If the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

8.10 Masonry Block Test Reports

The issue of missing masonry block testing reports must be examined. The importance of the use dictates the necessity of obtaining the missing reports. Below are listed those uses that, when examining projects using Alternate Process B, may result in the need for a testing report to be submitted to the DSA prior to project certification, and those that report submittal will not be necessary.

8.10.1 Uses that usually result in the need for a report to be submitted:

For project scope other than non-occupied minor structures as shown below, the issue of missing masonry block test report (prism or unit strength) must be resolved on a case by case basis. Typically, missing test reports can be waived where the masonry use is incidental or where it is determined that the masonry is designed at, or less than, half stress. Otherwise, resolution is necessary.

8.10.2 Uses that result in the DSA not requiring a report to be submitted:

For the project scope of non-occupied, minor structures it has been determined by the DSA that the testing of the masonry block to verify F_m does not add significantly to evidence of structural safety and is thus is not required for the

purpose of certification for these types of structures. These types of structures include (but are not limited to):

- fence walls less than 10 feet in height,
- retaining walls less than 12 feet in height,
- ball walls,
- trash enclosures, and
- non-occupied single story buildings.

The project should be examined for this use and a case by case determination made. If the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

8.11 Field Bolting Inspection Report

Field bolting is inspected by the Project Inspector or in some cases by a special inspector. If the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

8.12 Concrete Compression Tests Reports

The issue of missing concrete compression test reports must be examined. The importance of the use dictates the necessity of obtaining the missing reports. Below are listed those uses that, when examining projects using Alternate Process B, may result in the need for a testing report to be submitted to the DSA prior to project certification, and those for which report submittal will not be necessary.

8.12.1 Uses that usually result in the need for a report to be submitted.

For project scope other than minor structures as shown below, the issue of missing concrete compression test results must be resolved on a case by case basis. Typically missing test reports will be required except where the concrete use is incidental or where it is determined that the concrete used is structurally adequate at $f'_c = 2000$ psi. Otherwise, resolution is necessary. (See Section 9 for possible resolutions.)

8.12.2 Uses that result in the DSA not requiring a report to be submitted.

8.12.2.1 For project scope involving non-structural use of concrete, such as flat work, ramps, and non-structural slabs.

There is no health or safety related need for compression tests. The project should be examined for this use and a case by case determination made. If the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing documents of the form DSA-311 and no other action is required.

8.12.2.2 For project scope involving one story light framed buildings, minor structures and unoccupied structures including (but not limited to):

- fence walls less than 10 feet in height,
- retaining walls less than 12 feet in height,
- ball walls,

- trash enclosures,
- lunch shelters,
- shade structures,

Concrete compression test results do not add significantly to evidence of structural safety and are thus not required for the purposes of certification for these types of structures. The foundations for these types of structures are lightly loaded and the concrete used for construction in California achieves at least $f'_c = 2000$ psi at 28 days. The project should be examined for this use of concrete and a case by case determination made. If the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

8.13 In-plant Precast Concrete Inspection Reports

For project scope other than minor structures, the issue of missing in-plant precast concrete inspection reports must be resolved on a case by case basis.

Examples of minor structures which would not require submittal of In-Plant Precast Concrete inspection reports would include:

- precast vaults not larger than 5'x5'x5',
- septic tanks not in the roadway,
- manhole sleeves,
- culvert pipes, etc.

Thus, for minor structures, if the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

8.14 Glu-Lam Fabrication Certificates

Glu-Lam beam fabrication is conducted under rigorous in-plant conditions and QA/QC methods. While special inspections provide assurance of fabrication compliance, the issue of the missing report (because the person required to file it is dead, incapacitated by illness or in default) does not constitute a defective condition and if the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

Where installed Glu-Lams are of complex shapes, large sizes or long spans, on a case by case basis, DSA staff may require resolution of the missing report. (See Section 9 for possible resolutions.) The following require resolution on a case by case basis:

- Tapered or curved beams,
- Three hinge beams,
- Beam spans greater than 40 feet,
- Beam sizes greater than 24 inches deep.

8.15 Gang Nail Truss (Open Web Wood Trusses) Reports

Missing Gang Nail Truss (and other open web wood trusses) In-plant inspection reports must be resolved. (See Section 9 for possible resolutions.)

- The DSA will accept visual in-situ inspection by a qualified DSA approved inspector. Such inspection may require in-situ lumber grading.

8.16 Bleacher Affidavits/Certificates

Missing in-plant inspection bleacher affidavits/certificates must be resolved. (See Sections 7.5, 7.6, 9 and 10 for possible resolutions.)

8.17 Reinforcing Steel Test Reports

Historically, there has not been evidence of defective reinforcing on school projects. If the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

8.18 Unidentified Steel Test Reports

For uses other than minor structures, the issue must be resolved on a case by case basis. For minor structures, the report may not be required, otherwise, see Section 9 for possible resolutions. Thus, for minor structures, if the required report has not been submitted to the DSA due to incapacitating illness, death or default of any person required to file such reports, then list that missing document on the form DSA-311 and no other action is required.

Section 9: Materials

This section provides some strategies on resolving issues specific to construction materials. The acceptability of these strategies must be determined by a qualified California Structural Engineer (or in some cases Architect) and require concurrence and acceptance from the DSA. DSA concurrence and acceptance will be predicated on many factors, including project type, construction type, material type, other project documentation, structural significance, life/safety hazards, professional judgment, and professional experiences. In all cases, a California Licensed Structural Engineer and/or Architect may prepare a program of testing and inspections; submit to the DSA for concurrence and approval and execute the program. The DSA will accept a program in which the structures, members and/or components are load tested in compliance with the California Building Code and/or accepted National Standards.

9.1 Concrete

- Laboratory tests not conducted or report missing:
 - Core the concrete to perform compression tests, or, if required, petrographic, or chemical tests,
 - Non-destructive testing as approved by the DSA.
- Reinforcing tests not conducted during construction:
 - Project types (insignificant concrete use or non-structural concrete use) can result in the test not being required.
 - Provide Mill Certs,
 - Destructive testing as approved by the DSA,
 - Provide calculations to show low stress levels (1/2 stress).

9.2 Masonry

- Laboratory tests or special inspections not conducted or reports missing:
 - Core the masonry to perform compression tests, or, if required, petrographic, or chemical tests.

- Project types (insignificant masonry use such as ball walls, trash enclosures, low fence walls, low retaining walls) can result in the test not being required.
- Non-destructive testing as approved by the DSA,
- Destructive testing as approved by the DSA,
- Provide calculations to show low stress levels (1/2 stress),
- Provide calculations to show low stress levels ($\frac{3}{4}$ stress) along with letter from Project Inspector that the masonry was inspected,
- In-plane shear tests.
- Reinforcing tests not conducted during construction:
 - Project types (insignificant masonry use) can result in the test not being required,
 - Provide Mill Certs,
 - Destructive testing as approved by the DSA,
 - Provide calculations to show low stress levels (1/2 stress).
- Laboratory tests show face shell adhesion problem
 - Provide structural calculations for the masonry without face shells (essentially calculate as a concrete wall),
 - Core wall for more testing,
 - Project types (insignificant masonry use such as ball walls, trash enclosures, low fence walls, low retaining walls) can result in the test not being required.

9.3 Wood

- Glulam in-plant inspection not conducted or reports missing:
 - Provide AITC fabrication report,
 - In-situ visual inspection by a qualified DSA approved inspector,
- Gang Nail Truss (and other open web wood trusses) In-plant reports missing:
 - The DSA will accept visual in-situ inspection by a qualified DSA approved inspector. Such inspection may require in-situ lumber grading.

9.4 Steel

- Testing reports missing for unidentified steel:
 - Coupon test of in-situ steel
 - Structural Engineer submit letter requesting waiver of testing in combination with calculations showing the member(s) working stress level under full code load is $0.4 F_y$ (or less).
- Testing not conducted for high strength bolts:
 - Structural Engineer submit letter requesting waiver of testing in combination with calculations showing the stress level under full code loading is appropriate for equivalent bolts that are not high strength.
 - Develop testing program to remove (and replace) appropriate sampling of bolts for testing.
 - Remove and replace all high strength bolts (with adequate testing).
- Testing not conducted for torque testing of high strength bolts:
 - Structural Engineer submit letter requesting waiver of testing in combination with calculations showing the stress level under full code loading is appropriate for equivalent bolts that are not high strength.

- Torque test all high strength bolts.
- Inspection and/or testing reports missing for welding:
 - For single pass fillet welds at ½ stress, provide visual inspection by DSA approved qualified welding inspector.
 - Provide DSA approved in-situ non-destructive testing and inspections.

Section 10: Voided and Cancelled Projects

For projects which the DSA application number has been voided and yet the project was constructed (clear violation of the Education Code) the following strategies for resolution may be pursued:

- 10.1** Project was approved by the DSA prior to the cancellation or voiding, and construction started within 4 years of the DSA project approval:
- The DSA will reinstate the application number (rescind the cancellation/voidance) and start project closeout upon receipt of the following:
 - Written request from the district superintendent requesting reinstatement of the application.
 - Submitted proof (signed contracts with contractors or other appropriate documentation) that construction started (contracts signed) within the time frames stated above
 - Fees repaying DSA reimbursement (if any) to the District when the application number was cancelled or voided.
- 10.2** Project was approved by the DSA prior to the cancellation or voiding, and construction started 4 years after DSA project approval:
- Unfortunately, the DSA cannot reinstate the cancelled or voided application. Instead the following actions may occur.
- A new DSA application is required.
 - **Option 1:** The project construction documents must comply with the current codes in effect at the time the new application is submitted (or use the other option listed below):
 - The new DSA approved plans can be compared with the original plans used for construction. If there are no changes that require mitigating construction (reconstruction) then the Project Inspector may submit a DSA-6, and other documents required for certification may be filed. If there are changes that require mitigating construction (re-construction) then the Project Inspector needs to inspect that construction for conformance prior to completing the DSA-6 and, after the mitigating construction is complete, other documents required for certification may be completed and filed with the DSA, which will initiate close-out efforts at the appropriate time.
 - **Option 2:** The project can be submitted to the DSA [as “rehabilitation of nonconforming building for school use”](#). This option requires a meeting with the DSA prior to submittal and has specific submittal and design criteria.
- 10.3** Project was never approved by the DSA prior to the application cancellation or voidance:
- Unfortunately, if more than 4 years have passed since the original project submittal or a new code has been adopted since the project was first submitted, then the DSA

cannot reinstate the cancelled or voided application. Instead the following actions may occur:

- A new DSA application is required.
- **Option 1:** The project construction documents must comply with the current codes in effect at the time the new application is submitted (or use the other option listed below):
 - The new DSA approved plans can be compared with the original plans used for construction. If there are no changes that require mitigating construction (reconstruction), then the Project Inspector may file a DSA-6, and other documents required for certification may be filed. If there are changes that require mitigating construction (re-construction), then the Project Inspector needs to inspect that construction for conformance prior to completing the DSA-6 and, after the mitigating construction is complete, other documents required for certification may be completed and filed with the DSA, which will initiate close-out efforts at the appropriate time.
- **Option 2:** The project can be submitted to the DSA as [“rehabilitation of nonconforming building for school use”](#). This option requires a meeting with the DSA prior to submittal and has specific submittal and design criteria.

Section 11: Relocatable Buildings

(One story modular relocatable buildings.)

The design, plan approval, construction, inspection, and certification requirements for relocatable building projects have some unique features as discussed in this section. See DSA IR 16-1 for related discussion.

11.1 Types of Relocatable Buildings

Relocatable buildings are fabricated in a plant as units. The relocatable units are delivered to a school site where they are placed on a foundation and connected to electrical and plumbing systems (if necessary). Relocatable unit numbers, configurations and sizes can vary: they can be designed and installed as one standalone unit or multiple units can be combined to form a single building.

11.2 Inspection Requirements

Relocatable buildings require an In-Plant Inspector, a Project Inspector, or both depending on the project scope:

- If the project scope is
 - **“stockpile”** (building is not located at a specific site but instead is stockpiled awaiting purchase, lease or otherwise awaiting site location):
An In-Plant Inspector is required.
 - **“relocation” or “alteration”** (building is to be located at a specific site and is coming from stockpile or a previous site location):
A Project Inspector is required (see Appendix D for further discussion).
 - **“construction of”** (building is constructed for a specific site and is site located directly from the plant):
In-Plant Inspector and Project Inspector are required.

Project Scope	DSA-6 from In-plant Inspector Required?	DSA-6 from Project Inspector Required?
Stockpile	Yes	No
Relocation	No	Yes
Construction	Yes	Yes

11.3 Relocatable Building Numbering

- Each relocatable building unit (module) is required to be identified with an ID tag. The ID tag contains the original DSA application number under which the unit was fabricated and a unique serial number.
- Each relocatable building manufacturer uses a unique numbering system. As part of DSA certification, the correct number of building units (modules) and the corresponding (and correct) serial numbers must be provided for each building unit (module) on the DSA-6 forms. Units (modules) are typically 10 feet to 12 feet wide. The following table can provide assistance in making a determination on the number of units(modules) it takes to make up a complete building:

Building Type	Dimensions (in feet)	# of Relocatable Units (modules)	Number of Serial #s
Toilet	12x40	1	1
Classroom	24x40	2	2
Kindergarten	36x30	3	3
Multi-purpose	48x40	4	4

11.4 DSA-6 Requirements

In-Plant *and* Project Inspectors are each required to submit DSA-6 forms. It is essential that the serial numbers be included in the DSA-6 to specifically identify the buildings and the corresponding units (modules) covered by the report. For projects that require both an In-Plant Inspector and a Project Inspector, the application number and serial numbers should match on both inspectors' DSA-6 forms.

11.5 Documentation Required for DSA Certification

The below is a list of documentation required for certification, depending on the project scope. For projects closed not certified, Alternate Processes A, B, C or D of this certification guide may be used as appropriate.

- Project scope is "stockpile" :
 - DSA-6 from in-plant inspector,
 - DSA-292 or DSA-6 from In-Plant Welding Inspector,
 - Approved change documents (Addenda, Revisions, COs, FCDs, CCDs),
 - Any additional fees.
- Project scope is "relocation" or "alteration" :
 - DSA-6 from Project Inspector,
 - DSA-6 A/E from Design Professional in Responsible Charge (Architect),

- Electrical grounding test results, performed by the Project Inspector or DSA approved Laboratory. The results may be reported using DSA-6, DSA-121 or a separate report. (Any building with an electrical resistance exceeding 25 ohms must have a second grounding rod.),
- Notice of Completion from the District,
- Approved change documents (Addenda, Revisions, COs, FCDs, CCDs),
- Any additional fees.
- Project scope is "Construction Of":
 - DSA-6 from Project Inspector,
 - DSA-6 from in-plant inspector,
 - DSA-292 or DSA-6 from in-plant welding inspector,
 - DSA-6 from design professional in responsible charge (Architect),
 - Electrical grounding test results, performed by the Project Inspector or DSA approved Laboratory. The results may be reported using DSA-6, DSA-121 or a separate report. (Any building with an electrical resistance exceeding 25 ohms must have a second grounding rod.),
 - Notice of Completion from the District,
 - Approved change documents, (Addenda, Revisions, COs, FCDs, CCDs),
 - Any additional fees.

11.6 Relocatable Buildings Constructed Without DSA Approval

These buildings are "nonconforming" and must be DSA certified prior to use as school buildings, as defined in the Education Code. Below are two options:

- **Option 1:** Architect/Engineer certification program. This program must be developed by a California Licensed Architect or Structural Engineer:
 - Architect identifies building manufacturer, fabrication date, and serial number from tag on the building. If available, also obtains any PC number or application number.
 - Architect works collaboratively with manufacturer to obtain plans for the building that was constructed. If available, also obtains any in-plant inspection reports from the RBIP (even if based upon unapproved plans or PC plans).
 - Architect develops and submits a proposed inspection and testing program for the building to the DSA for concurrence and approval. Supervisor shares with DSE for concurrence with the proposed program. Supervisor approves program upon concurrence. For the inspection and testing program usually requires that all gravity and lateral load path members and details be observed; some destructive testing/inspection may be necessary. The DSA has accepted either a written detailed listing of the members and details on the plans, or a marked-up set of plans indicating the items to observe. Material testing (steel coupons, concrete tests, etc.) may be required.
 - Upon approval of inspection program, the District hires a DSA approved RBIP and/or a Class 1 inspector and, as required, a welding inspector to perform the inspections of the building.
 - Inspector prepares 95% FVR (DSA-6) based upon a pending approved application and plans. This inspection occurs before plan submittal to verify that the plans being submitted are in fact applicable for that building.

- Architect makes any design adjustments to the structure and then submits plans to the DSA as a “new” project. The project construction documents must comply with the current codes in effect at the time the “new” application is submitted.
 - Upon approval of plans, the Project Inspector completes inspection and files 100% DSA-6, per current practice. Depending upon certification level, the Project Inspector could be same for site inspection; however, in that case, separate DSA-6 forms would be required (one for the site and one for the building).
 - The DSA then initiates closeout (certification).
- **Option 2:** The project can be submitted to the DSA as [“rehabilitation of nonconforming building for school use.”](#) This option requires a meeting with DSA prior to submittal and has specific submittal and design criteria.

11.7 Relocatable Building Fire Alarm Deferred Approval

Past DSA processes allowed approval of fire alarm designs to be deferred. In some cases, approval of deferred fire alarm designs was not obtained from the DSA. Fire alarms designed for and installed in relocatable buildings were (at the time) simple in nature and readily verified by testing. Therefore, as an alternate to approved fire alarm Deferred Approvals for relocatable buildings, the DSA will require all of the following:

- California licensed Architect, or Electrical Engineer or Structural Engineer causes and witnesses fire alarm inspection and testing in compliance with NFPA 72.
- Completion and submittal to the DSA of NFPA 72, “Fire Alarm System Record of Completion” form.
- Completion and submittal to the DSA of NFPA 72 “Fire Alarm Inspection and Testing” form.
- Signed letter from the Architect or Electrical Engineer or Structural Engineer stating, “I have witnessed the fire alarm system test for the project and in my opinion the alarm is in essential compliance with NFPA 72.”

Appendix A

Authority and Justifications

Authority for Development and Use of Guide

Statutory Authority This certification guide is only to be used for those projects previously closed without DSA certification due to missing documentation and/or outstanding fees. Statutory Authority for the use of the alternate processes presented in Chapter 5 of this guide resides in the Education Code:

- **17315(b)/81147(b).** *“When a school building, constructed in accordance with approved plans and specifications, is completed but final verified reports, as are required under Section 17309/81141, have not been submitted to the Department of General Services due to the incapacitating illness, death, or the default of any persons required to file such reports, the Department of General Services shall, upon written request of the school district/community college district, review all of the project records and make such examinations as it deems necessary to enable it to certify that the school building otherwise complies with the requirements of this article. The Department of General Services may request the school district to have made, reported, and verified any other tests and inspections which the department deems necessary to complete its examinations of the construction.”*

Justification for Use of the Identified Alternate Processes

Alternate Process Type A:

The Final Verified Report from the Project Inspector is typically considered by the DSA to be the single most important document in the file when certifying projects. For projects where persons have defaulted and thus have failed to provide required reports or where documentation is otherwise missing from the files, the DSA has determined that the Final Verified Report from the Project Inspector may be reasonable and sufficient evidence that the project was constructed in compliance with the approved construction documents. This determination is based on the following:

- California Code of Regulations (CCR), Title 24, Part 1, Section 4-333 (b) requires that:

“For every project there shall be a project inspector who shall have personal knowledge as defined in Sections 17309 and 81141 of the Education Code of all work done on the project or its parts as defined in Section 4-316. No work shall be carried out except under the inspection of the project inspector approved by DSA”.

The referenced sections of the Education Code define ‘personal knowledge as:

“actual personal knowledge which is obtained from his or her personal continuous inspection of the work of construction in all stages of its progress at the site where he is responsible for inspection and, when work is carried out away from the site, that personal knowledge which is obtained from the reporting of others on the testing or inspection of materials and workmanship for compliance with the plans, specifications or applicable standards. The exercise of reasonable diligence to obtain facts is required.”

- CCR, Title 24, Part ,1 Section 4-333 (b) requires that:
“A project inspector, shall, under the direction of the architect and/or engineer, be responsible for monitoring the work of special inspectors and testing laboratories to ensure that the testing program is satisfactorily completed”.
- It is reasonable for the DSA to accept the Project Inspector Verified Report as an alternate to missing verified reports, testing reports and other missing documents because, as the regulation and statute sections establish the Project Inspector:
 - is required to be present throughout the construction process;
 - inspects the entire project;
 - may rely on reports from others if he/she cannot inspect personally;
 - is responsible to ensure that the entire inspection program, including the special inspection and offsite inspections are satisfactorily completed;
 - is responsible to ensure that the material testing program, including onsite and offsite testing is satisfactorily completed;
 - acts under the direction of the design professional and thus has knowledge of the design professional's construction activities and concerns.

Alternate Process Type B:

The justification information is found in the text of Chapter 5, Section 8 of this Guide.

Alternate Process Type C:

Virtually all DSA approved relocatable buildings in any given plant are manufactured by equivalent processes and provided equivalent inspections and testing by the Relocatable Building In-Plant (RBIP) Inspector, in-plant welding inspector and, as necessary, testing laboratory. All plants that manufacture relocatable buildings have oversight by DSA field engineers and have RBIP and welding inspectors present on a regular basis. Missing in-plant inspection and/or testing reports are neither indicative of defective construction nor indicative of lack of inspection/testing but instead are indicative of poor record keeping by inspectors, architects, districts, engineers and manufacturing plants. Therefore, a single report by either the in-plant inspector or the in-plant welding inspector may be sufficient for purposes of certification.

Appendix B

Links to Referenced DSA Documents and Forms

Current versions of all DSA forms are available on the DSA website, [Forms](#) page.

Current versions of all DSA IRs and other publications are available on the DSA website, [Publications](#).page.

Form DSA-1	Application for Approval of Plans and Specifications
Form DSA-5	Project/Special Inspector Qualification Record
Form DSA-6	Verified Report for Contractors and Inspectors
Form DSA-6A/E	Verified Report for Architects and Engineers
Form DSA-102	Contract Information
Form DSA-108	Change in Delegation of Responsibility
Form DSA-140	Application for Approval of Construction Change Document - CCD Category A
Form DSA-141	Application for Concurrence of Construction Change Document - CCD Category B
Form DSA-168	Statement of Final Actual Project Cost
Form DSA-291	Laboratory Verified Report
Form DSA-292	Special Inspection Verified Report
Form DSA-293	Geotechnical Verified Report
Form DSA-310	Legacy Project Statement of Content for Change Orders, Addenda and Revisions
Form DSA-311	Request for Examination for Certification Using Education Code 17315(b) / 81147(b)
Form DSA-320	Legacy Project Justification Form
IR A-19	Design Professional's Signature and Seal (Stamp) on Construction Documents
IR A-20	New Projects Associated With Existing Uncertified Projects
Policy PL 09-04	90-Day Letter and Reopening of Files for Project Certification

Appendix C

On-Line Resources

The DSA website is a ready source of project-specific information drawn from DSA's Tracker database. Tracker has records for all projects submitted to DSA for plan review since 11/12/1997.

1. Start at the DSA home page <http://www.dgs.ca.gov/dsa>.
2. Click on **Project Tracking** in DSA Quick Links, on the right of the screen.
3. Click on **Project Status eTracker**
4. or go directly to <https://www.apps.dgs.ca.gov/tracker/ProjectStatus.aspx>
5. Search for project records by Application Number or by County/School District

Example: Search for DSA Application Number 04-105900 to see the following Application Summary:

Tracker - Application Summary - Microsoft Internet Explorer

Address: <https://www.apps.dgs.ca.gov/tracker/ApplicationSummary.aspx>

GOVERNOR SCHWARZENEGGER
Visit his Website

Application Summary

Office ID: 04 Application #: 105900 File #: 30-51

Project Name: Marjorie Veeh Elementary School

Project Scope: Construction of (1) toilet bldg R Alteration to ADMIN BLDG. A, M.P. BLDG. H, AND (5) C.R. BLDGS :B, C,D,E & F (BLDGS. A# 22843)

Address: 1701 San Juan Street

City: Tustin **Zip:** 92782

PTN #: 73643-18 **OPSC #:** **# Of Incr:** 0

Project Type: SCHOOL (K-12) **Project Class:** Class 3 **Special Type:** **Received Date:** 1/29/2004

Estimated Amt: \$614,191.00 **Contracted Amt:** \$2,463,150.87 **Change Order Amt:** \$56,994.55

Adj Est.Date#1: **Adj Est.Amt#1:** **Appr. Date:** 6/4/2004 **Appr. Ext. Date:** **Closed Date:** 7/18/2008

☐ Incomplete Submittal **Complete Submittal Received Date:** **SB 575**

☐ New Campus ☐ Modernization

Required Included In Plan **Auto Fire Detection** **Sprinkler System**

☐ ☐ ☐

Required review services

☒ Access Compliance ☒ Fire & Life Safety ☐ Energy Plan Review

☒ Structural Safety ☒ Field Review ☐ CGS Review

Special review type

☐ Class 3 Reduction ☐ Concurrent Review ☐ Incremental Review

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TRACKER LINKS

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- » Project Professional
- » Project Closeout
- » Documents Required List

6. Follow the various **Project Status** categories under the **Tracker Links** in the left-hand column.

Example A: Click on **Project Closeout** and notice that this project was closed on 7/18/08 and the Closing Letter Type is a #3-Close of File w/o Certification-Exceptions.

Tracker - Project Closeout - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address <https://www.apps.dgs.ca.gov/tracker/ProjectCloseout.aspx> Go Links

GOVERNOR SCHWARZENEGGER
Visit his Website

Project Closeout Status

Office ID: 04 Application #: 105900 File #: 30-51

Project Name: Marjorie Veeh Elementary School

Project Scope: Construction of (1) toilet bldg R Alteration to ADMIN BLDG. A, M.P. BLDG. H, AND (5) C.R. BLDGS. B, C, D, E, F (ALL BLDGS. A# 22843)

Field Engineer: Green, Michael

Engineer Recomm. Date:

90 Day Letter Date: 5/13/2006 90 Day Exp. Date: 8/11/2006

90 Day Ext. Date: Ext. 90 Day Exp. Date:

Closed Date: 7/18/2008 Closed Letter Type: #3-Close of File w/o Certification - Exceptions

1st Revised Closed Date: 1st Revised Letter Type:

2nd Revised Closed Date: 2nd Revised Letter Type:

DGS LINKS

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TRACKER LINKS

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- **Project Closeout**
- Documents Required List

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Done Internet

Example B: Click on **Documents Required List** to view the documents required for project certification and whether or not they have been received by the DSA. Use the following key to understand the notations:

RR - Required and Received by the DSA

RM - Required but Missing from DSA files

Notice that the Laboratory Affidavit and reports for engineered fill, batch plant inspection and shot pin testing are missing from the DSA project file.

Tracker - Documents Required List For Project Certification - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address <https://www.apps.dgs.ca.gov/tracker/ProjectRequiredDoc.aspx> Go Links

GOVERNOR SCHWARZENEGGER
Visit his Website

Documents Required List For Project Certification

Office ID: 04 Application #: 105900 File #: 30-51

Project Name: Marjorie Veeh Elementary School

Project Scope: Construction of (1) toilet bldg R Alteration to ADMIN BLDG. A, M.P. BLDG. H, AND (5) C.R. BLDGS. B, C, D, E & F (ALL BLDGS. A# 22843)

RR	DSA Record Set of plans		Shop Welding Fab
			Field Welding
RM	Laboratory Affidavit		High Strength Bolt Inst
RR	Notice of Completion		Glulam Fab
RR	DSA-102		
	DSA-5 (General Inspector)		Manufact. Trusses
	DSA-5 (In-plant)	RM	Engineered Fill
	DSA-5 (Assistant)		Bleacher Fab
	DSA-5 (Masonry)		Pre stress
	DSA-5 (Welding)	RM	Batch Plant
	DSA-5 (Site)	RM	Laboratory
	DSA-5 (Other)		
RR	DSA-6 (General Responsible)		Auto sprinkler System DA
RR	DSA-6/A/E (Architect)		Smoke Ventilator DA
RR	DSA-6/A/E (Electrical Engg.)		Wheelchair Lift DA
RR	DSA-6/A/E (Mechanical Engg.)		Basketball Backstops DA
RR	DSA-6/A/E (Structural Engg.)		Bleacher(s) DA
RR	DSA-6 (Contractor)		Access Floor Systems DA
	DSA-6 (General Inspector)		Skylight(s) DA
	DSA-6 (In-plant Inspector)		
	DSA-6 (Site Inspector)		
	DSA-6 (Other Inspector 1 (if any))	RM	shot pins
	DSA-6 (Other Inspector 2 (if any))		

GOVERNOR SCHWARZENEGGER
Visit his Website

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Example B (cont.):

The Documents Required List for more recent projects has a revised format. See the following list with the revised format from a different project:

Notice here the missing form DSA-102, Contractor's form DSA-6, Notice of Completion, Architect's form DSA-6 A/E and the Project Inspector's form DSA-6.

The screenshot shows the 'Tracker - Documents Required List For Project Certification' page in Microsoft Internet Explorer. The browser address bar shows <https://www.apps.dgs.ca.gov/tracker/ProjectRequiredDoc.aspx>. The page header includes the Governor Schwarzenegger logo and the title 'Documents Required List For Project Certification'. The project details are: Office ID: 04, Application #: 107574, File #: 30-51, Project Name: Currie Middle School, and Project Scope: Alteration to CR BLDGS '400', '500', '600', '800' (A-34685), '700' (A34683), ADMIN BLDG (A-34020), MP BLDG (A-34020). The page is divided into three main sections: Contracts, Design Professionals DSA-6 A/E, and General Inspectors DSA-6. Each section contains a table with columns for Contract #, Name, and Date. The 'Documents Required List' link in the left sidebar is circled. A note at the bottom states: 'Dates indicate the item or document has been accepted. A blank field indicates either a missing or rejected item or document. Explanations regarding the rejection of a received item or document can be found in the Notes section. Only unapproved change orders appear on this page. To view all change orders go to DSA's web site at www.dsa.dgs.ca.gov'.

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- Documents Required List

Office ID: 04 **Application #:** 107574 **File #:** 30-51

Project Name: Currie Middle School

Project Scope: Alteration to CR BLDGS '400', '500', '600', '800' (A-34685), '700' (A34683), ADMIN BLDG (A-34020), MP BLDG (A-34020)

Contracts

Contract #	Name	DSA-102 Received Date	DSA-6 Date Signed	N.O.C Date Completed
Note: DSA-102 required for each contract including construction managers. DSA-6 and N.O.C. required for each contractor excluding construction managers.				

Design Professionals DSA-6 A/E

Design Professional	Name	Date Signed
Architect	Robert Simons	

General Inspectors DSA-6

Type	Name	Date Signed
Project Inspector		

Dates indicate the item or document has been accepted. A blank field indicates either a missing or rejected item or document. Explanations regarding the rejection of a received item or document can be found in the Notes section. Only unapproved change orders appear on this page. To view all change orders go to DSA's web site at www.dsa.dgs.ca.gov

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Example C: Click on **Change Orders** to view a list of Change Orders received by DSA and their review/approval status. For more information on a particular Change Order, click **select** opposite the change order in question. For example, see the detailed information for the selected Change Order #14 at the bottom of the Change Order list below. Notice that the change order is shown to be under DSA structural safety review as of 8/18/2008.

Similar lists of Addenda, Deferred Approvals and Revisions may be viewed by clicking on the corresponding links in the left hand column.

Tracker - Change Orders - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address <https://www.apps.dgs.ca.gov/tracker/ChangeOrders.aspx> Go

Visit this Website

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TRACKER LINKS

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Office ID: 04 Application #: 105900 File #: 30-51

Project Name: Marjorie Veeh Elementary School

Please select the Change Order which you want to review

	Change Order#	Received	Approved	Contractor
select	1	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	10	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	11	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	12	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	13	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	14	08/12/2008		Douglas E. Barnhart, Inc
select	2	09/20/2006	03/27/2007	Douglas E. Barnhart, Inc
select	3	09/20/2006	01/16/2008	Douglas E. Barnhart, Inc
select	4	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	5	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	6	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	7	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	8	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc
select	9	09/20/2006	02/25/2007	Douglas E. Barnhart, Inc

Change Order #: 14 Cost: \$846.00

Description: 8-12-2008 RECEIVED (2) CO 14.

Contractor: Douglas E. Barnhart, Inc

Received Date: 08/12/2008 Approval Date: Canceled Date:

Access Review	Fire & Life Safety Review	Structural Safety Review
Status:		Reviewing
Date:		8/18/2008

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Appendix D

Relocatable Buildings

Many relocatable buildings are not DSA certified. School districts sometimes desire to move these buildings or desire to certify them in place. The following scenarios and associated criteria determine project approved. (To be used for single story relocatable buildings only).

1. Relocate new building from stockpile and building is certified by the DSA.
 - IR 16-1 applies
2. Relocate new building from stockpile. Stockpile application is approved by the DSA but building is not certified.
 - IR 16-1 applies.
 - Superstructure must have been constructed using an appropriate approved DSA application for construction, not a Pre-Check (PC).
 - Client must provide final Verified Reports (DSA-6 form) from the In-Plant Inspector (RBIP or Class 1) and from the In-Plant Welding Inspector (AWS/CWI) by time of close of submitted project.
3. Relocate existing building from a school site and building is certified by the DSA.
 - IR 16-1 applies.
4. Relocate existing building from a school site and building is not certified by the DSA.
 - IR 16-1 applies, and:

Option 1

- Superstructure must have been constructed using an appropriate approved DSA application for construction (not a PC).
- Client must provide Final Verified Reports (DSA-6 form) from the In-Plant Inspector (RBIP or Class 1) and from the In-Plant Welding Inspector (AWS/CWI) before stampout of submitted project.

Option 2

- Building has been previously DSA certified at any site during its entire existence.

Option 3

- Only previous site issues have caused the building to not be certified and once the building is relocated then those issues become moot. Such issues could include: grounding, no DSA-6 from the site inspector, ramps, foundation issues, etc.
5. Building is already on site and is not DSA site certified.
 - IR 16-1 applies.
 - The superstructure must be DSA certified or certifiable by any of the methods noted above in this document.
 - All foundation work must comply with the current codes. The plans must show all components/information/details as if the building had not yet been placed on the site. The plans may include a note for the contractor to “verify and modify as required.”
 6. Building is not DSA certified or certifiable by any of the methods noted above.
 - Building is considered “non-conforming” to Title 24 and the Field Act. Any use as a school building is prohibited until the building is DSA certified.

Appendix E

DSA File Organization

Paper Files:

DSA files documents into two files; Red file and Black file. The Red file contains plan review documents and technical construction documents. The Black file contains administrative and closing documents. These files may be made available to the public upon request such that the public can review the files for documents.

Below is a listing of documents in each respective file:

BLACK FILE	
Form Number/ Document Name	Description
DSA-1	Application (or ORS-1 or SSS-1 for older projects)
DSA-1.DEL	Delegation of responsibility
DSA-1.INC	Definition of Scope of Increments
DSA-1 REVISED	
Closing Letters	Change in delegation of responsibility
Plan check worksheet	Referred to as a "yellow worksheet"
Approval of plans letter	Referred to as "first approval letter"
DSA-5	Project inspector qualification record Also used for semi-monthly reports from inspectors
DSA-5A	Assistant inspector qualification record
DSA-6A/E	Verified Report
DSA-6	Verified Reports for each: Inspector, Assistant Inspector, and Contractor(s). DSA-6s can also be submitted for most special inspection verified reports, with the exception of glulam beams
DSA-102	Contract Information
Copies of Invoices and Checks	
Checklist for Site Inspection of Relocatable Buildings	For relocatables (optional)
Notice of Completion	
DSA-145	Record Set Handling Instructions
DSA-293	Geotechnical Verified Report (engineered fill)
DSA-291	Laboratory Verified Report (lab tests)
DSA-292	Special Inspection Verified Report (lists what inspection was for)
DSA Field Trip Notes	

RED FILE	
Form Number/ Document Name	Description
Plan Check Related Docs	Calculations, specs, etc.
T & I List	Structural Tests and Inspections
Lab Reports	
DSA-143	Transmittal Memo. Used as a cover sheet to Change Orders, Deferred Approvals, Revisions, Addendum, Misc., but not always. The Transmittal Memo may be missing from these documents.
Change Orders	Should have Transmittal Memo attached.
Deferred Approvals	Should have Transmittal Memo attached.
Addenda	Should have Transmittal Memo attached.
Revisions	Should have Transmittal Memo attached.
DSA-3	Project Submittal Checklist

Note: Many documents in the files do not relate to closeout, nor are they required for closeout.

Appendix F

GLOSSARY OF TERMS

Addendum	A document that identifies changes or alterations to the approved plans or specifications prior to letting a construction contract for the work involved. These shall be submitted to and approved by the DSA.
Additional (Filing) Fee	The fee which shall be paid to the DSA when a contract amount, or the cumulative total of two or more contract amounts, exceeds the estimated cost by more than 30%.
Application	See DSA-1 form.
Bleacher Fabrication Affidavit (Verified Report)	An affidavit signed by an inspector for the inspection of the fabrication of bleachers.
California Building Code (CBC)	The building code that is used in California for public schools and community colleges.
Certificate of Compliance	Upon satisfactory completion of construction, and receipt of all required documents, the DSA issues a Certificate of Compliance to the school district. This letter is evidence that construction conforms to applicable requirements of the California Education Code and California Building Standards Administrative Code.
Certificate of Compliance without Receipt of All Documents	A letter of certification is issued when one or more documents have not been received, but DSA has determined that certification meets the requirements of Education Code Section 17315(b). This certification is also known as a #2 Letter.
Change Order	A document that identifies changes or alterations of the approved plans or specifications and/or changes in the contract amount after letting a construction contract.
Closed without Certification	A letter the DSA issues when any of the required documents as listed on the 90 Day Letter have not been received from the responsible entities and therefore the DSA cannot issue a Certificate of Compliance. Also known as a #3 Letter.
Construction Manager	A firm or individual hired by a school district to manage construction. May or may not act as a contractor.
Deferred Approval	When a portion of the construction cannot be adequately detailed on the approved plans because of variations in the product design and/or manufacturer, the approval of plans for such portion may be deferred until the material suppliers are selected. Examples would include bleachers, fire sprinkler systems, basketball backboards, etc.
Delegation of Responsibility form	A form completed by the architect or school district to change an individual(s) on a DSA-1 application form.
Documents Required List	See Required Documents List.

DSA-1 form	Same as an application. A DSA application form submitted at the time a project is submitted for plan review and approval. A unique application number is assigned to each application.
DSA-102 form (Contract Information)	A DSA form used to record the contractor's name and the amount and scope of the construction contract.
DSA-143-1 form	A DSA transmittal form used to identify material received, returned, approved or not, and comments for Addenda, Change Orders, Deferred Approvals, Misc. Field Changes, etc.
DSA-6A/E form	A Verified Report signed by the individuals listed on the DSA-1 application for the observation of construction.
DSA-6 form (Project/Site Inspector)	A Verified Report signed by the Project Inspector for the inspection of construction. These reports certify under penalty of perjury that all construction was completed in accordance with DSA approved documents.
DSA-6 form (In-plant Inspector)	A Verified Report signed by an inspector for the inspection of the in-plant fabrication of a relocatable building. These reports certify under penalty of perjury that all construction was completed in accordance with DSA approved documents.
DSA-6 form (Contractor)	A Verified Report signed by a contractor for the construction work performed. These reports certify under penalty of perjury that all construction was completed in accordance with DSA approved documents.
DSA-5 form (Project Inspector Qualification and Employment Record)	An application for DSA approval of an inspector. Note: This is not a required closing document.
District Structural Engineer	Also referred to informally as a Field Engineer.
DSE	See District Structural Engineer.
eTracker	A computer system that tracks information on applications from time of submittal to close of file.
Electrical Grounding Test Report	A report that indicates the results of an electrical grounding test for an electrical ground rod on relocatable buildings.
Engineered Fill Affidavit (Verified Report)	An Affidavit signed by a licensed Geo-technical Engineer for engineered fill tests and inspections.
Construction Change Document	A document defining changes to the code-regulated construction requirements of the DSA-approved plans and/or specifications issued after a construction contract has been approved.

Field Trip Notes (FTN)	DSA field engineers create trip notes when performing field visits to construction sites. Occasionally there will be items that need to be addressed before certification can be granted. The Field Engineer will provide the Site/Project Inspector with this request and the inspector is to respond in writing, either in a semi-monthly report, separate correspondence or indicated on the final verified report that these items have been resolved or completed.
Field Welding Affidavit (Verified Report)	An affidavit signed by an AWS/CWI (An American Welding Society – Certified Welding Inspector) for the inspection of field welding.
Filing Fee	Fee which shall accompany the DSA-1 Application, or as corrected under additional filing fee.
Final Verified Report	See DSA-6. These reports certify under penalty of perjury that all construction was completed in accordance with DSA approved documents.
Further Fee	Fee which shall be paid to the DSA if the actual cost exceeds the estimated cost by more than 5%. This is determined in closing.
Glulam Fabrication Affidavit (Verified Report)	An Affidavit signed by a special inspector for the inspection of the fabrication of glued-laminated beams.
High Strength Bolt Installation Affidavit (Verified Report)	An affidavit signed by a special inspector for the installation of high strength bolts.
Increment	This term refers to incremental submittals made to be plan reviewed by the DSA. When only one submittal is made there are no increments. This information may be found on the yellow worksheet in the file and/or Tracker. Note that increments are NOT associated with construction phases.
Information Management System (ADM)	An electronic document management system that stores documents in a central location. Plans, specifications, Addenda, Change Orders, semi-monthly reports, transmittals, correspondence and closing documents may be found here. Was, until recently, referred to as IMS.
Laboratory	A company that performs material testing and provides special inspections.
Laboratory Affidavit (Verified Report)	A laboratory affidavit signed by duly authorized representative stating that all tests of materials used in construction of the project were made in accordance with the approved plans and specifications.
Laboratory Reports	Material test reports and daily reports for sampling, testing, or inspection. Not to be confused with Verified Reports.
Letter of Certification	See Certificate of Compliance.
Masonry Inspection Affidavit (Verified Report)	An Affidavit signed by a special inspector for the inspection of masonry construction.
Notice of Completion (NOC)	This notice is required for each contract. It signifies that the project has been completed according to the DSA approved plans and that it is acceptable to the School District/Owner.
PCS	See Project Closeout Specialist.

Portion (scope)	A portion of the entire scope of an application approved by the DSA has been constructed (as opposed to constructing the entire scope)
Portion Scope Construction Certification	The DSA may certify portions of the scope of a project that are completed if those portions include all aspects of construction necessary to make the affected structures code compliant (including accessibility and safety code requirements). The DSA cannot certify structures that are not code compliant or structures that are incomplete.
Project	This term refers to a specific application for plan review and approval as well as construction.
Project Closeout	Upon completion of construction, project closeout is the process of reviewing documentation submitted to the DSA and verifying that all work was performed and inspected in accordance with Code requirements. If documentation indicates that the construction met requirements, then the DSA issues a letter of Certification of Construction to the school district.
Project Closeout Specialist	A Project Closeout Specialist, or PCS, provides administrative assistance to the DSE during project closeout.
Project Inspector	A general inspector
Relocatable Building	A building with an integral floor structure which is capable of being readily moved (relocated).
Required Documents List	Also referred to informally as the "Docs Required List" or in eTracker as the "Required Documents Report." This is a list of all documents to be submitted to the DSA for project certification. The list is created during plan review and finalized during closeout.
Semi-Monthly Reports	Reports signed by a Project Inspector regarding the status of construction and submitted to the DSA twice a month (every two weeks).
Shop Welding and Fabrication Verified Report	An affidavit signed by an AWS/CWI (American Welding Society – Certified Welding Inspector) for the inspection of shop welding.
Site Inspector	Note: This is an old term. Now referred to as a Project Inspector. An inspector for site work under a relocatable building project. Sometimes used to refer to a Project Inspector for a site work contract.
Special Inspector	An inspector who is approved to inspect masonry construction, glued-laminated lumber, manufactured trusses, shotcrete application, pre-stressed concrete member fabrication, post-tensioning operations, high strength bolt installation, shop welding, field welding, or pile driving. Each Special Inspector is required to submit a Special Inspector Verified Report (SIVR), DSA-292.
Testing and Inspection (T&I) List	A DSA form that lists structural tests and inspections that are required by the CBC.
90-day Letter	A letter that is sent to the architect and school district after the completion of construction requesting that all outstanding requirements and documents on a Documents Required List be submitted within a 90 day period to allow the DSA to certify the application.

Appendix G

DSA Staff Documents

Work Program for Legacy Projects

I. Organize Uncertified (Legacy) Projects

HQ Responsibilities

- Determine complete list of legacy projects by DSA application number.
- Separate legacy projects by districts and create separate files for all districts.

Staff Responsibilities

- Use the Alternate Process Legacy Project Master Spreadsheet to record which project belongs to which alternate process group and to record all other actions.
- Obtain all closing letters from HQ for projects identified in 1st step.
- Review all closing letters to determine which alternate process type (A, B, C or D) would be most appropriate to use when re-examining for certification. Separate the letters into four groups, corresponding to the four Alternate Process Types (A, B, C, and D). A brief explanation follows:
 - Group A: Project Inspector verified report is in the file or the project is otherwise easily certified.
 - Group B: Project Inspector verified report is not in the file but it appears that the project can be successfully certified using Alternate Process Type B because the missing documentation can be readily obtained or resolved.
 - Group C: Project consists of relocatable building(s).
 - Group D: Project is likely not certifiable without substantial effort and thus time should not be spent on re-examining the file as part of this program.
- Order files and plans from state records center for the projects, except for those in Group D.
 - Files and plans should be ordered in manageable groups.
 - DSA electronic files (ADM) must be searched for any documents and plans and, if any found, they must be included when re-examining the file.
 - Verify that the Regional Office or Field Engineer has no other files, documents, or plans for the project. If any more are found then add to the DSA file.
- Determine why the project is not certified.
 - Verify the file contains the correct "Closed Without Certification" letter. If there is none in the file, then one must be created using information found in the file. The letter is not sent to the District but scanned into ADM and filed in the Black File.
 - Verify the "Closed Without Certification" letter is correct by reviewing the file. If incorrect then corrected the letter and replace the old letter with the new corrected one in ADM and the Black File.
 - Make sure the "Closed Without Certification" letter is in ADM. If it is not, then scan and upload into ADM.


Review of Project Files

- Organize project file. Merge documentation from ADM and from other sources with project file.
- Scan all closing documents to ADM if not already there.
- Match up project files with project plans.
- Verify and, as necessary, correct project scope.
- Update e-Tracker for scope and documents found.
- Check all documentation for documents previously listed as missing/not resolved and, if necessary, update "Closed Without Certification" letter, scan to ADM and file in Black File.
- Using the DSA *Project Certification Guide* examine the project for certification viability.
- Tag all pertinent documents to facilitate final review of file.
- If project consists of relocatable buildings only, use Google Earth and the site plan to determine if the buildings still exist. If not, then recommend closing Type 5 letter (see page 3).
- Make recommendation about disposition of the project (certified, not certified, etc.).
- Fill out a form DSA-320: Alternate Certification Process Justification.
- If person performing the above tasks is not a DSA Structural Engineer (SE) or DSA Architect (Arch) then schedule a meeting with the assigned DSA staff SE/Arch.
- DSA staff SE/Arch makes final a recommendation on file disposition. Meets with DSA principal engineer/arch if needed (complex/unsure).
- DSA staff SE/Arch determines final resolution of file (certifiable or not certifiable).
- If it is determined that the project can be certified, then:
 - Make sure all closing documents are scanned into ADM.
- Verify the accuracy and completeness of the DSA 320: Alternate Certification Process Justification.
 - Scan the DSA-320 into ADM, and place form in Black File.
 - Send plans to the office scanning section for scanning to ADM (plans are not returned to State Record Center).
 - If no additional/further project fees are due to DSA then send AP Letter Type A1 to the district.
 - If additional/further project fees are due to DSA then send AP Letter Type A2 to district.
 - If district responds by returning the completed form DSA-311, then:
 - Scan form to ADM and file it in the Black File.
 - Make sure re-opening fee is paid.
 - Make sure any additional/further fees are paid.
 - Issue the certification letter. **Must be Type 2 letter.**
 - If, after 60 days, the district has not returned form DSA-311 and paid required fees then return project files to State Record Center.
- If project is determined to be missing documents necessary for certification then:

- Assign to group Alternate Process Type A, B or D (type “C” for relocatable projects).
- Make sure all closing documents are scanned to ADM.
- Send plans to the office scanning section for scanning into to ADM (plans are not returned to State Record Center).
- If no additional/further project fees are due to the DSA then send AP Letter Type A3 to the District.
- If additional/further project fees are due to the DSA then send AP Letter Type A4 to the District.
- If within 60 days, the District submits form DSA-311, provides resolution of missing documents and pays fees owed and thus the project is determined to be ready for certification then use the above “If it is determined that the project can be certified” step.
- If the District responds within 60 days and it appears that working with the District will result in the project certification within an additional 30 days then continue holding the file open for an additional 30 days.
- If, after a total elapsed time from sending letter A3 or A4 to the District is 60 (or 90 days as appropriate) and it is determined the project still cannot be certified then return files to State Record Center.

Appendix G: Staff Documents

Form DSA-320: Alternate Certification Process Justification

 <div style="display: inline-block; vertical-align: middle;">Division of the State Architect <small>CALIFORNIA DEPARTMENT OF GENERAL SERVICES</small></div>	<div style="border: 1px solid black; padding: 5px;"><small>FORM</small> DSA-320 <small>Revised 01/13</small></div>																																						
ALTERNATE CERTIFICATION PROCESS JUSTIFICATION																																							
Alternate Process Type A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>	<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="padding: 2px;">DSA File Number:</td><td style="text-align: center; padding: 2px;">-</td></tr><tr><td style="padding: 2px;">DSA Application Number:</td><td style="text-align: center; padding: 2px;">-</td></tr><tr><td style="padding: 2px;">Date:</td><td style="padding: 2px;"></td></tr></table>	DSA File Number:	-	DSA Application Number:	-	Date:																																	
DSA File Number:	-																																						
DSA Application Number:	-																																						
Date:																																							
<div style="display: flex; justify-content: space-between;"><div style="width: 45%;"><table border="1" style="width: 100%; border-collapse: collapse;"><thead><tr><th style="text-align: center; padding: 5px;">Missing Documents</th><th style="text-align: center; padding: 5px;">Justification (paragraph number)</th></tr></thead><tbody><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr><tr><td style="height: 20px;"></td><td></td></tr></tbody></table></div><div style="width: 45%;"></div></div>		Missing Documents	Justification (paragraph number)																																				
Missing Documents	Justification (paragraph number)																																						
<p>This form is to be used by DSA staff when using the DSA Project Certification Guide. List the missing document and the paragraph number from the Project Certification Guide that justifies certification without receiving the missing document.</p> <div style="display: flex; justify-content: space-between; font-size: small; margin-top: 10px;"><div>DSA-320 rev 01-08-13</div><div>CALIFORNIA DEPARTMENT OF GENERAL SERVICES</div><div>Page 1 of 1</div></div>																																							

Appendix G: Staff Documents

Letter Type A1



**Division of the
State Architect**
CALIFORNIA DEPARTMENT OF GENERAL SERVICES

San Diego Regional Office
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San Diego, CA 92127 | F 858.674.5471
www.dgs.ca.gov/dsa

January 1, 2013

AP Letter Type A1

Superintendent **James Smith**
California School District
123 Anytown Road
Anycity, California 91234

RE: Certification of School Construction Project, DSA Application Number **04-123456**,
Any School

Dear **Superintendent Smith**:

In a continuing effort to assist school districts to obtain certification for their older construction projects, the Division of the State Architect (DSA) has re-examined the referenced project and has determined it may be possible to certify it on the basis of Education Code (EC) Section 17315(b)/81147(b).

Listed on the enclosed DSA-311 form are documents missing from the DSA files. If these documents are missing because they have not been submitted due to incapacitating illness, death or default of person(s) required to file the documents, the project may be certified in accordance with EC Section 17315(b)/81147(b).

If applicable to the referenced project, please complete and sign the enclosed DSA-311 form and return it to the DSA within 45 days from the date of this letter. In addition, as required by the EC, the DSA must recover costs incurred for this effort by charging the district a fee of **\$1,000.00** for reopening and examining the project for certification.

In summary, should you wish to pursue certification, the following will be required for submittal to the DSA within 45 days of the date of this letter:

- Form DSA-311
- Re-opening/Re-examination fee **\$ 1,000.00**

Please contact me at **(858) 674-5400** or craig.rush@dgs.ca.gov if you have any questions or concerns.

Sincerely,

Craig Rush, S.E.
Regional Manager, San Diego
Division of the State Architect

**Headquarters
Office**
1102 Q Street, Suite 5100
Sacramento, CA 95811
T 916.445.8100

**Sacramento
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**Oakland
Regional Office**
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Oakland, CA 94612
T 510.622.3101

**Los Angeles
Regional Office**
700 N. Alameda St., Suite 5-500
Los Angeles, CA 90012
T 213.897.3995

Appendix G: Staff Documents

Letter Type A2



**Division of the
State Architect**
CALIFORNIA DEPARTMENT OF GENERAL SERVICES

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San Diego, CA 92127 | F 858.674.5471
www.dgs.ca.gov/dsa

January 1, 2013

AP Letter Type A2

Superintendent James Smith
California School District
123 Anytown Road
Anycity, California 91234

RE: Certification of School Construction Project, DSA Application Number 04-123456,
Any School

Dear Superintendent Smith:

In a continuing effort to assist school districts to obtain certification for their older construction projects, the Division of the State Architect (DSA) has re-examined the referenced project and has determined it may be possible to certify it on the basis of Education Code (EC) Section 17315(b)/81147(b).

Listed on the enclosed DSA-311 form are documents missing from the DSA files. If these documents are missing because they have not been submitted due to incapacitating illness, death or default of person(s) required to file the documents, the project may be certified in accordance with EC Section 17315(b)/81147(b).

If applicable to the referenced project, please complete and sign the enclosed DSA-311 form and return it to the DSA within 45 days from the date of this letter. In addition, any unpaid fees owed by the District to the DSA for this project must be paid prior to certification. The DSA records show unpaid fees of \$ YYY for this project.

Also, as required by the EC, the DSA must recover costs incurred for this effort by charging the district a fee of \$ XXX for re-opening and examining the project for certification.

In summary, should you wish to pursue certification, the following will be required for submittal to the DSA within 45 days of the date of this letter:

- Form DSA-311
- Fees
 - Additional Project fees
 - Re-opening/Re-examination fee

Total fees

\$	YYY
\$	XXX
\$	YYY+XXX

Please contact me at (858) 674-5400 or craig.rush@dgs.ca.gov should you have any questions or concerns.

Sincerely,

Craig Rush, S.E.
Regional Manager, San Diego
Division of the State Architect

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1102 Q Street, Suite 5100
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Appendix G: Staff Documents

Letter Type A3



**Division of the
State Architect**

CALIFORNIA DEPARTMENT OF GENERAL SERVICES

San Diego Regional Office

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San Diego, CA 92127

| F 858.674.5471

www.dgs.ca.gov/dsa

January 1, 2013

AP Letter Type A3

Superintendent **James Smith**
California School District
123 Anytown Road
Anycity, California 91234

RE: Certification of School Construction Project, DSA Application Number **04-123456**
Any School

Dear Superintendent Smith:

In a continuing effort to assist school districts to obtain certification for their older construction projects, the Division of the State Architect (DSA) has re-examined the referenced project and has determined it may be possible to certify it on the basis of Education Code (EC) Section 17315(b)/81147(b), provided that:

1. The following documents missing from the DSA files must be submitted to and approved/accepted by DSA
 - Document
 - Document
 - Document
 - Document
 - Document
2. Listed on the enclosed DSA-311 form are other documents missing from the DSA files. If these documents are missing because they have not been submitted due to incapacitating illness, death or default of person(s) required to file the documents, the project may be certified in accordance with EC Section 17315(b)/81147(b).

If applicable to the referenced project, please complete and sign the enclosed DSA-311 form and return it to the DSA within 45 days from the date of this letter. In addition, as required by the EC, the DSA must recover costs incurred for this effort by charging the district a fee of **\$ XXX** for re-opening and examining the project for certification.

In summary, should you wish to pursue certification, the following will be required to be submitted to DSA within 45 days of the date of this letter:

- Documents listed in Section #1 above
- Form DSA-311
- Re-opening/Re-examination fee of **\$ XXX**

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Appendix G: Staff Documents

Letter Type A3 (cont.)

Superintendent James Smith
California School District

AP Letter Type B – Page 2
December 11, 2012

Please contact me at Your Phone Number or Your Email Address if you have any questions or concerns.

Sincerely,

Craig Rush, S.E.
Regional Manager, San Diego
Division of the State Architect

Appendix G: Staff Documents

Letter Type A4



**Division of the
State Architect**
CALIFORNIA DEPARTMENT OF GENERAL SERVICES

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www.dgs.ca.gov/dsa

January 1, 2013

AP Letter Type A4

Superintendent **James Smith**
California School District
123 Anytown Road
Anytown, California 91234

RE: Certification of School Construction Project, DSA Application Number **04-123456**, Any School

Dear Superintendent **Smith**:

In a continuing effort to assist school districts to obtain certification for their older construction projects, the Division of the State Architect (DSA) has re-examined the referenced project and has determined it may be possible to certify it on the basis of Education Code (EC) Section 17315(b)/81147(b), provided that:

1. The following documents missing from the DSA files must be submitted to and approved/Accepted by DSA
 - Document
 - Document
 - Document
 - Document
 - Document
 - Document
 - Document
 - Document
2. Listed on the enclosed DSA-311 form are other documents missing from the DSA files. If these documents are missing because they have not been submitted due to incapacitating illness, death or default of person(s) required to file the documents, the project may be certified in accordance with EC 17315(b)/81147(b).

If applicable to the referenced project, please complete and sign the enclosed DSA-311 and return it to the DSA within 45 days from the date of this letter. In addition, any unpaid fees owed by the District to the DSA for this project must be paid prior to certification. The DSA records show unpaid fees of \$ **YYY** for this project.

Also, as required by the EC, the DSA must recover costs incurred for this effort by charging the district a fee of \$ **XXX** for re-opening and examining the project for certification.

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Appendix G: Staff Documents

Letter Type A4 (cont.)

Superintendent James Smith
California School District

AP Letter Type A4 – Page 2
January 1, 2013

In summary, should you wish to pursue certification, the following will be required for submittal to DSA within 45 days of the date of this letter:

- Documents listed in section #1 above
- Form DSA-311
- Fees
 - Additional Project fees
 - Re-opening/Re-examination fee

Total fees

\$	YYY
\$	XXX
\$	YYY+XXX

Please contact me at (858) 674-5400 or craig.rush@dgs.ca.gov if you have any questions or concerns.

Sincerely,

Craig Rush, S.E.
Regional Manager, San Diego
Division of the State Architect

Appendix G: Staff Documents

Master Spreadsheet Sample

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z
1	2012 Legacy Project Program: Master Spreadsheet																									
2																										
3	App ID auto-sort)																									
4	Office Working File	Origin ID	App. ID	File ID	Verified or Created Close Letter In File (Date)	Initial Closed Letter Type (1,2,3,4,5)	Alternate Process Type (A, B, C, D)	File Ordered From SRC (Archive) (Date)	File Received From SRC (Archive) (Date)	File Returned To SRC (Archive) (Date)	Plans Ordered From SRC (Archive) (Date)	Plans Received From SRC (Archive) (Date)	Plans Sent to Scan Dept for Scan to ADM (Date)	Relocatable Building Project (Y/N)	Recommended Certification type (1,2,3,4,5)	Letter Type A3 or A4 sent to District (Date)	Letter Type A1 or A2 sent to District (Date)	Form 311 sent to District (Date)	Form 311 Received From District (Date)	Re-opening Fee Received From District (Date)	Verified All Fees have been Paid (Date)	Date of Final Certification Type	Final Certification Type (1,2,3,4,5)	Reviewed By	Assigned Date	Comments
92																										
93																										
94																										
95																										
96																										
97																										
98																										
99																										
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110																										
111																										
112																										
113																										
114																										

Legacy Guide Spread Sheet Instructions

Column	Directions
A	Enter the Origin ID of the office working the certification program (01,02,03,04).
B	Enter the Origin ID of the project (01,02,03,04).
C	Enter the application number of the file without the origin.
D	Enter the File ID (also may be called "file number" or "Client ID").
E	Enter the date the close letter was verified as existing in the file (or if a new one had to be created enter the date it was created or verified that it is in the file).
F	Enter the closed letter type that was found in the file and verified as correct. This may be different than the initial closed letter type since the letter type may have been updated over time (letter types are 1,2,3,4,5).
G	Enter the alternate process type determined to be appropriate for the attempt at certification of the project (process types are A,B,C,D).
H	Enter the date the project file was ordered from the State Record Center.
I	Enter the date the project file was received from the State Record Center.
J	Enter the date the project file was returned to the State Record Center.
K	Enter the date the project plans were ordered from the State Record Center.
L	Enter the date the project plans were received from the State Record Center.
M	Enter the date the project plans were sent to the office scanning department for scanning and uploading into the ADM.
N	If the project is relocatable buildings enter "yes", otherwise enter "no."
O	After reviewing the file and before form DSA-311 is received, enter the recommended closing type.
P	Enter date letter Type A3 or A4 sent to the District. If none sent then leave blank.
Q	Enter date letter Type A1 or A2 sent to the District. If none sent then leave blank.
R	Enter date form DSA-311 was sent to the District. If not sent then leave blank.
S	Enter date form DSA-311 was received back from the District.
T	Enter date re-opening fee received from the District. If none required then enter "NR."
U	Enter the date that it was verified that all fees have been paid.
V	Enter the date that the final certification type, as determined by using this legacy certification program (it may be the same letter type as the line E or it may be different).
W	Enter the final certification type as determined by using this legacy certification program (it may be the same letter type as the line F or it may be different).